

Department of Health and Human Services
Substance Abuse and Mental Health Services
Administration

Drug-Free Communities Mentoring (DFC-M) Program

Funding Opportunity Announcement (FOA) Number: SP-18-004

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.276

Key Dates:

Application Deadline	Applications are due by June 4, 2018
Intergovernmental Review (E.O. 12372)	Applicants <u>must</u> comply with E.O. 12372 if their state(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants <u>must</u> send the PHSIS to appropriate state and local health agencies by application deadline. Comments from Single State Agency (SSA) are due no later than 60 days after application deadline.

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EXECUTIVE SUMMARY

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP), are accepting applications for Fiscal Year (FY) 2018 Drug-Free Communities Mentoring (DFC-M) Program grants. The purpose of this program is to provide grant funds to existing DFC recipients so they may serve as mentors to newly-formed and/or developing coalitions that have never received a DFC grant.

Funding Opportunity Title:	Drug-Free Communities Mentoring Program
Funding Opportunity Number:	SP-18-004
Due Date for Applications:	June 4, 2018
Anticipated Total Available Funding:	Approximately \$225,000
Estimated Number of Awards:	Approximately 3 awards
Estimated Award Amount:	Up to \$75,000 per year
Cost Sharing/Match Required	Yes [See Section III-2 for cost sharing/match requirements.]
Anticipated Project Start Date:	September 30, 2018
Length of Project Period:	Up to 2 years
Eligible Applicants:	Eligible applicants must have a coalition that has been in existence for at least five years (not to be interpreted as having been a DFC recipient for five years); have an active DFC grant at the time of the award (not including no-cost extensions); and be in good standing (not on restrictive status). [See Section III-1 for complete eligibility information.]

Be sure to check the SAMHSA website periodically for any updates on this program.

IMPORTANT APPLICATION INFORMATION: SAMHSA’s application procedures have changed. **All applicants must register with NIH’s eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately. Do not wait to start this process. If your organization is not registered and you do not have an active eRA Commons PI account by the deadline, the application will not be accepted. No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see [Appendix A](#) for all registration requirements).

I. PROJECT DESCRIPTION

1. PURPOSE

The Drug-Free Communities (DFC) Support Program was created by the Drug-Free Communities (DFC) Act of 1997 (Public Law 105-20). The DFC Mentoring (DFC-M) Program was established as a component of the DFC Support Program when the program was reauthorized in 2001 (Public Law 107-82, 115 Stat. 814). The DFC Mentoring Program was also included in the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469).

The purpose of the DFC-M Program is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own.

It is the intent of the DFC-M Program that, at the end of the Mentoring grant, each Mentee coalition will meet all of the statutory eligibility requirements of the DFC Support Program and be fully prepared to compete for a DFC grant on their own. Recipients will be expected to achieve this by meeting the following goals:

1. Strengthen the Mentee coalition’s organizational structure.
2. Increase the Mentee coalition’s leadership and community readiness to address youth substance use problems in the Mentee community.
3. Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive Action Plan.

*For the purposes of this Funding Opportunity Announcement (FOA), “youth” is defined as individuals 18 years of age and younger.

The DFC-M Program is a collaborative effort directed by the Office of National Drug Control Policy (ONDCP) in collaboration with the Department of Health and Human Services (HHS),

Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP). This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

2. EXPECTATIONS

For the purposes of this FOA, **a coalition is defined as a community-based formal arrangement for cooperation and collaboration among groups or sectors of a community in which each group retains its identity, but all agree to work together toward a common goal of building a safe, healthy, and drug-free community.**

Grants awarded through the DFC-M Program are intended to assist newly forming coalitions meet all of the statutory eligibility requirements of the DFC Support Program, and be fully prepared to compete for a DFC grant on their own. **Funding through this grant must support the Mentee coalition in obtaining the training and technical assistance necessary to form a community coalition capable of applying for a DFC grant.** To accomplish this, the Mentor coalition is expected to mobilize a majority of its key sector members to work collaboratively on the development of the Mentee coalition. The DFC-M Program seeks to combine staff and volunteer resources from the Mentor coalition with those of the Mentee community to successfully support the development of a functioning Mentee coalition.

The types of activities that are expected and allowable include, but are **not** limited to: education of Mentee community members; training and technical assistance for the Mentee community/coalition; development and execution of a needs assessment in the Mentee community (to include data collection and analysis), logic model development, and strategic plans (both short- and long-term). Any activity geared toward the Mentee's ability to become DFC eligible should be included, whether it is provided by the Mentor coalition/sector members or an outside entity. **The Mentee coalition is highly encouraged to obtain training and technical assistance from a variety of sources and not just the Mentor coalition.**

The DFC-M Program does **not** fund the following (not a fully exhaustive list):

- After-school programs,
- Youth Mentoring Programs,
- Sports programs,
- Treatment services/programs/facilities,
- Drug Courts,
- Construction; or
- Landscaping/neighborhood revitalization projects.

Allowable Number of Mentees

DFC-M grant award recipients are expected to assist one or more communities in the development of coalitions working to reduce and prevent youth substance use in their communities. Although the Mentor coalition may mentor up to five coalitions at a time, given the limited resources available under this grant and the importance of the mentoring relationship, it is recommended that the Mentor work with only one or two Mentee coalitions at a time. Proposing to mentor more than one Mentee coalition will not positively or negatively affect an applicant's peer review score. Applicants **must** answer all questions for each coalition being mentored within the 10-pages of the [Project Narrative, Section A](#).

SAMHSA strongly encourages all recipients to provide a tobacco-free workplace and to promote abstinence from all tobacco products (except in regard to accepted tribal traditions and practices).

Some applicants living in remote and rural areas may be unable to submit electronically through the Grants.gov portal because their physical location does not have adequate access to the internet. Inadequate internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship.

In these cases, applicants may apply for a waiver of the electronic submission. The waiver **must** be submitted at least 15 days prior to the application receipt date. If the waiver is approved, the applicant will be permitted to submit a paper application. The process for applying for a waiver is described in [Appendix A](#).

The waiver is only considered for applicants with persistent lack of access to the internet. No other exceptions will be made.

2.1 Strategic Prevention Framework

Mentor and Mentee coalitions are expected to utilize SAMHSA's Strategic Prevention Framework (SPF) as the planning model to develop long-range plans. The SPF is a five-step evidence-based process for community planning and decision-making. Cultural competence and sustainability should be considered throughout all five steps of the process which includes:

1. **Assessment:** Identify local youth substance use problems and the community conditions that contribute to the specific identified issues.
2. **Capacity:** Mobilize/build capacity to change the conditions and address the youth substance use problems.
3. **Planning:** Develop a logic model, comprehensive 12-month Action Plan, and multi-year Strategic Plan.
4. **Implementation:** Implement action and strategic plans with multiple objectives, strategies, and activities.

5. Evaluation: Monitor, sustain, improve, or replace prevention activities, efforts, and strategies.

For more information on SPF, visit <http://www.samhsa.gov/spf>.

2.2 Community Definition

Applicants are expected to define the Mentee communities they propose to serve. The DFC-M Program **does not** prescribe the size, borders, demographics, or geographic location of DFC Mentee communities. A Mentee coalition can use various geographic locations including neighborhoods, census tracts, zip codes, and school districts, as well as township, counties, or parish lines, among others, to define their community. Applicants should be realistic about the size and population of the area in which the Mentee coalition will have the ability to create change. For example, choosing a community that is too large may be problematic due to inclusion of neighborhoods that have significantly different problems to be addressed.

The DFC-M Program **does not** make funding decisions based on geographic boundaries (e.g., number of grants within states/towns/cities). Applicants should consider that adjacent neighborhoods/towns/cities with DFC-funded community coalitions operating in different areas are encouraged. However, multiple DFC recipients may not serve the same zip code(s) unless there is written evidence of cooperation between the overlapping coalitions.

2.3 Community Level Change

Mentors and Mentee coalitions are expected to choose strategies that will lead to community level change. Community level change strategies seek to: (1) limit access to substances; (2) change the culture and context within which decisions about substance use are made; and/or (3) shift the consequences associated with youth substance use. Evidence exists that well-conceived and implemented policies at the local, state, and national levels can reduce community-level alcohol, tobacco, and other drug problems.

The Seven Strategies for Community Change, which are a conceptual understanding of strategies a coalition may employ, include efforts that affect individuals, as well as those that have the potential to reach an entire community. The 12-Month Mentoring Plan provided in [Section A, Question 5.3.4](#); pertains to the strategies and activities the Mentor coalition and the Mentee coalition will undertake to increase the likelihood that the Mentee coalition will become DFC eligible. The plan should address strengthening the Mentee coalition's organizational structure; increasing the Mentee coalition's leadership and community readiness to address youth substance use problems in the Mentee community; and assisting the Mentee coalition in working through a strategic planning process that will result in a comprehensive 12-Month Action Plan.

The Mentoring Plan does not necessarily address the Mentee and its actions to reduce youth

substance use, but it may. The Mentor coalition supports the Mentee coalition in developing its community level change strategies for any future DFC application and the development of its 12-Month Mentoring Plan.

For more information on the Seven Strategies for Community Change, please visit the Community Anti-Drug Coalitions of America's website
<http://www.cadca.org/resources/detail/definint-seven-strategies-community-change>.

NOTE: Applications funded by the DFC-M Program are **required** to comply with the following Term and Condition regarding grant recipient restrictions on lobbying:

Per 45 CFR §75.215, Recipients are subject to the restrictions on lobbying as set forth in 45 CFR part 93. U.S.C. > Title 18 > Part I > Chapter 93 > Section 1913, **No part of the money appropriated by any enactment of Congress shall**, in the absence of express authorization by Congress, **be used directly or indirectly to pay for** any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, **intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation;** but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Member or official, at his/her request, or to Congress or such official, through the proper official channels, requests for any legislation, law, ratification, policy, or appropriations which they deem necessary for the efficient conduct of the Public business, or from making any communication whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities.

2.4 DFC National Cross-site Evaluation

DFC-M grant award recipients are required to assist the Mentee coalition in developing baseline data regarding youth substance use in the Mentee community consistent with the DFC Program's four core measures.

DFC grant award recipients are required to provide data every two years on the following core measures for alcohol, tobacco, marijuana, and prescription drugs for three grades (6-12th):

1. Past 30-day use
2. Perception of risk or harm
3. Perception of parental disapproval of use
4. Perception of peer disapproval of use

* It is recommended that data be collected for at least one middle school and one high school grade.

DFC-M grantees **must** report once a year on each Mentee coalition's progress in collecting each of the four measures mentioned above.

2.5 New Grant Award Recipient Training Requirement

All new DFC Mentoring Grant Award Recipients and Mentees **must** participate **in the DFC New Grant Award Recipient Virtual Training**. It is strongly recommended that the Program Directors, Project Coordinators, and the Grant Award Recipients (fiscal agent) participate in the virtual training session. The DFC New Grant Award Recipient Virtual Training usually takes place in mid-November or early December. Training dates and topics will be shared with all new DFC Mentoring Grant Award Recipients and Mentees within 60 to 90 days of award notice.

2.6 National Coalition Academy Requirement

The National Coalition Academy (NCA) is a three-week training program spread out over the course of several months. It is designed to train coalitions in the SPF process and guide the creation of the products necessary for successful coalition functioning and operation. Costs associated with the NCA are generally limited to travel (e.g., flight, car rental, per diem). Lodging, dependent upon location, may be provided. There are several locations across the United States where the NCA is held.

Mentee coalitions that are being mentored for the full two-year term are required to enroll in the NCA at some point during their Mentoring grant. Each Mentee coalition **must** send two people to the NCA. Mentee coalitions only mentored for a one-year term are strongly encouraged to attend NCA, but it is not required.

It is highly recommended that the Mentor or Mentee coalition contact the NCA immediately after being awarded the DFC-M grant to register for the NCA location of your choice. More information on the NCA can be found at <http://www.cadca.org/nca>.

II. AWARD INFORMATION

Funding Mechanism:	Grant
Anticipated Total Available Funding:	Approximately \$225,000
Estimated Number of Awards:	Approximately 3 grant awards

Estimated Award Amount: Up to \$75,000

Length of Project Period: Up to 2 years

Proposed budgets cannot exceed \$75,000 in total costs (direct and indirect) in any year of the proposed project. Annual continuation awards will depend on the availability of funds, recipient progress in meeting project goals and objectives, timely submission of required data and reports, and compliance with all grant award Terms and Conditions. Failure to comply with the Terms and Conditions of award may result in suspension or termination of the award.

Applicants should be aware that award amounts are subject to the availability of funds.

Recipients will be awarded funds for one year beginning on September 30, 2018. Funds for subsequent years within a grant cycle are distributed on an annual basis as non-competing continuation awards. Each year, recipients **must** demonstrate compliance with the DFC Mentoring Statutory Eligibility Requirements.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligible applicants must have a coalition that has been in existence for at least five years (not to be interpreted as having been a DFC recipient for five years); have an active DFC grant at the time of the award (this excludes a no-cost extension for a grant that has ended); and be in good standing (not on restricted status).

Statutory Eligibility Requirements, written into the DFC Act, are inherent in the DFC-M Program. Applicants should refer to **Table 1: Statutory Eligibility Requirements**, which contains a summary of the minimum documentation applicants **must** provide to meet these criteria. The table also specifies evidence required and where to place it in the application (e.g., as an attachment, in the Project Narrative, or in the Budget Narrative).

Failure to meet any single statutory eligibility requirement will cause the application to be deemed ineligible; in such case it will not move forward to peer review. Should your application fail to meet the eligibility requirements, the person listed as the **Business Official (BO)** on the Application for Federal Assistance (SF-424) will receive a letter stating why the application is ineligible. **No additional information may be added to an application after it has been submitted.** Final authority lies with the DFC Administrator to determine the eligibility of an application.

All DFC-M applications will be jointly screened by ONDCP and SAMHSA to determine whether an applicant meets all the Statutory Eligibility Requirements for the DFC-M Program identified in Table 1. In addition, the non-profit status of the recipient/legal applicant, if

applicable, will be verified along with its ability to fiscally manage federal funds. Applications submitted by eligible coalitions that demonstrate they meet all requirements will be scored through a peer review process, according to the evaluation criteria described in [Appendix N](#) of this FOA. Each year, DFC Mentoring recipients **must** demonstrate compliance with all of the following Statutory Eligibility Requirements to be considered for continued funding.

A DFC-M legal applicant (an organization applying on behalf of a coalition, the coalition, or the applicant coalition) **must** reside within the United States and/or the U.S. Territories. The intent of the DFC Mentoring Program is to fund activities in the United States and does not authorize the funding of organizations or activities outside the United States.

Table 1: Statutory Eligibility Requirements for the DFC Mentoring Program

Eligibility Requirement Item:	Evidence Required and Where to Document:
Requirement 1: <i>Mentor's 5 Years of Existence</i>	Evidence Required:
The Mentor coalition must have been in existence for at least five years. (21 USC 1535 § 1035 (d)(1))	Applicants must provide the date the Mentor coalition was established. Where to Document: Attachment 1: Mentor Coalition General Information, Item 3 (Refer to Appendix G)
Requirement 2: <i>Mentor in Good Standing</i>	Evidence Required:
The Mentor coalition must be in compliance with all requirements of their existing DFC grant (i.e., DFC reporting and Grants Management requirements) for the previous year. NOTE: A DFC recipient on restricted status is not eligible to submit an application for a DFC Mentoring grant. (21 USC 1535 § 1035 (a))	Applicants must provide information documenting current DFC award. Where to Document: Attachment 1: Mentor Coalition General Information, Item 5 and Item 15 (Refer to Appendix G)
Requirement 3: <i>Mentor's Measurable Results</i>	Evidence Required:

Eligibility Requirement Item:	Evidence Required and Where to Document:
<p>The Mentor coalition must have achieved, through its own efforts, measurable results in the prevention of substance use among youth. <i>*(21 USC 1535 § 1035 (d)(2))</i></p>	<p>Applicants must report their coalition’s successes and achievements that reflect measureable results.</p> <p>Where to Document: <u>Project Narrative:</u> Question 5.3.1</p>
Requirement 4: Mentor’s Commitment	Evidence Required:
<p>The Mentor coalition must have at least one paid or volunteer staff person, as well as sector volunteers, willing to serve as mentors to the Mentee coalition in the prevention of youth substance use. <i>(21 USC 1535 § 1035 (d)(3))</i></p>	<p>Applicants must provide information documenting staff and sector volunteer involvement within the Mentee coalition.</p> <p>Where to Document:</p> <p><u>Attachment 3:</u> MOU between Mentor Coalition and Mentee Coalition(s) (Refer to Appendix I)</p> <p><u>Attachment 4:</u> Resumes and Job Descriptions (Refer to Appendix J) each Mentee Coalition and; recipient/legal</p>
Requirement 5: Mentee’s Status	Evidence Required:
<p>The Mentee coalition is not currently and never has been funded through the DFC grant program.</p>	<p>Applicants must demonstrate that the Mentee coalition has no prior history of DFC funding.</p> <p>Where to Document:</p> <p><u>Attachment 2:</u> Mentee Coalition General Information, Items 14 and 16 (Refer to Appendix H)</p>
Requirement 6: Mentee’s Willingness to Participate	Evidence Required:

Eligibility Requirement Item:	Evidence Required and Where to Document:
<p>The Mentor coalition <u>must</u> demonstrate that there is a willingness on the part of the Mentee coalition and its community to actively participate in the mentoring process. (21 USC 1535 § 1035 (d)(4))</p>	<p>Applicants <u>must</u> submit a Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee coalition, using the sample provided in Appendix I.</p> <p>Where to Document:</p> <p><u>Overview of the Mentor/Mentee Relationship and Mentee Community:</u> Applicants must describe how the Mentor and Mentee(s) coalitions have entered into a relationship for the purpose of developing a new coalition. (Refer to V.5.5.1)</p> <p><u>Attachment 3:</u> Memorandum of Understanding (MOU) between Mentor and Mentee coalition(s).</p>
<p>Requirement 7: 12-Month Mentoring Plan</p>	<p>Evidence Required:</p>
<p>The Mentor coalition <u>must</u> submit a detailed Mentoring Plan for the mentoring activities to be supported by the grant. *(21 USC 1535 § 1035 (d)(5))</p>	<p>Applicants <u>must</u> submit a 12-Month Mentoring Plan.</p> <p>Where to Document:</p> <p><u>Project Narrative:</u> Section A, Question 5.3.4</p>
<p>Requirement 8: Substantial Support from Non-Federal Sources</p>	<p>Evidence Required:</p>
<p>The Mentor coalition <u>must</u> demonstrate a minimum of a 1:1 match in non-federal funds not previously identified as match to their current DFC grant. (21 USC 1535 § 1035 (g)(1))</p>	<p>Applicants <u>must</u> show at least dollar-for-dollar (1:1) matching funds in their Budget and 12-Month Budget Narrative.</p> <p>Where to Document:</p> <p>SF-424, Section 18 SF-424A 12-Month Budget Narrative (Refer to Appendix F)</p>
<p>Requirement 9: Federal Request</p>	<p>Evidence Required:</p>

Eligibility Requirement Item:	Evidence Required and Where to Document:
The Mentor coalition may not request more than \$75,000 in federal funds per year. (21 USC 1535 § 1035 (g)(2))	The budget may not show a request for federal funds exceeding \$75,000 per year. Where to Document: SF-424, Section 18 SF-424A 12-Month Budget Narrative (Refer to Appendix F)

2. COST SHARING AND MATCH REQUIREMENTS

The DFC-M Program authorizing legislation requires recipients demonstrate that they have matching funds (“match”) from non-federal sources equivalent to or greater than federal funds requested from the DFC Mentoring Program. Applicants **must** itemize the match separately in the budget and explain the match separately in the 12-Month Budget Narrative. A sample 12-Month Budget Narrative is provided in [Appendix F](#) of this FOA. As stated above, applicants are required to have 100 percent match (1:1) from non-federal sources in each year of the grant. The table below indicates the percentage of match required for DFC-M recipients in each year of the grant.

Table 2: Percentage of Match

Year of Funding Requested	Matching Requirement
1	100%
2	100%

Cash or in-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated, including but not limited to office space, volunteer secretarial services, pro bono accounting services, and other volunteer services to support the coalition’s work. All match **must** follow the federal cost principles (see [Section IV-4](#) of this FOA). Applicants cannot submit match that would not be an allowable expense with DFC funds. A match level over the required amount **will not** result in a higher peer review score. All proposed match is an obligation on the part of the applicant.

Federal funds, including those passed through a state or local government, **cannot** be used toward the required match. The **only** exception in the DFC Mentoring Program is in the case of a coalition that includes a representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance use and serving a tribal community.

IV. APPLICATION AND SUBMISSION INFORMATION

1. REQUIRED APPLICATION COMPONENTS:

- **Budget Information SF-424** – Fill out all Sections of the SF-424. In **Line #4** (i.e., Applicant Identified), input the Commons Username of the PD/PI. In **Line #17** input the following information: (Proposed Project Date: a. Start Date: 9/30/2018; b. End Date: 9/29/2020).

Budget Information Form – Use SF-424A. Fill out all Sections of the SF-424A.

- **Section A** – Budget Summary: Use the first row only (Line 1) to report the total federal funds (e) and non-federal funds (f) requested for the **first year** of your project only.
- **Section B** – Budget Categories: Use the first column only (Column 1) to report the budget category breakouts (Lines 6a through 6h) and indirect charges (Line 6j) for the total funding requested for the **first year** of your project only.
- **Section C** – Leave blank if cost sharing/match is not required for this program. Complete if cost sharing/match is required.
- **Section D** – Forecasted Cash Needs: Input the total funds requested, broken down by quarter, only for Year 1 of the project period. Use the first row for federal funds and the second row for non-federal funds.
- **Section E** – Budget Estimates of Federal Funds Needed for Balance of the Project: Input the total funds requested for the out years (e.g., Year 2). For example, if you are requesting funds for two years in total, you would input information in columns b, c, and d (i.e., 1 out year).

A sample budget and justification is included in [Appendix F](#) of this document. **It is highly recommended that you use this sample budget format. This will expedite review of your application.**

Applications **must** include all required application components. These components **must** be submitted in the order detailed below. Please refer to [Appendix B](#) for additional formatting and submission requirements (e.g., font size, page margins, Grants.gov instructions, etc.).

- **Application for Federal Assistance (SF-424):** This form **must** be completed by applicants for all SAMHSA grants. In addition, all applicants must provide a Dun and Bradstreet (DUNS) number and register in the System for Award Management (SAM). See [Appendix A](#) for information on how to obtain a DUNS number and register in SAM.

NOTE: If an applicant's SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new

account requires. This can take up to one month. It is highly recommended that applicants renew their accounts prior to the expiration date. The account update process takes 24-48 hours.

- **Budget Information Form: Use SF-424A.** Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in [Appendix F](#) of this document. Your completed SF-424A should reflect the final numbers as they appear in your Budget Narrative.
- **Table of Contents: The bottom right corner of every page in the application must be numbered**, including the Attachments, beginning with the Table of Contents as Page 1. In the Table of Contents, include the page numbers for each of the major sections of the application and each attachment. Hand numbering of pages is allowable.
- **Overview of the Mentor/Mentee Relationship and Mentee Community:** This is the applicant's opportunity to "set the stage" for peer reviewers in terms of how the Mentor and Mentee coalitions have entered into a relationship for the purposes of developing a new coalition. It should be no longer than two pages in length.
- **Project Narrative:** The Project Narrative ([Section A](#) of this FOA) describes the efforts the Mentor coalition will undertake to support the development of the Mentee coalition(s). It consists of five questions and can be **no longer than 10 pages**.
- **Budget Narrative:** The Budget Narrative ([Appendix F](#)) provides an itemized line item breakdown and narrative detail about both the federal request and the non-federal match.
- **Attachments 1 through 6:** Please clearly label each attachment provided. Applications with additional attachments **will not** receive a higher score. All attachments **must** be labeled and identified with a page number.
- **Assurances: Non-Construction Programs.** Applicants **must** read the list of assurances provided on the SAMHSA website at <http://www.samhsa.gov/grants/applying/forms-resources> and **check the box marked 'I Agree'** before signing the face page (SF-424) of the application. **Do not include the list of assurances with your application.**
- **Certifications:** Applicants **must** read the list of certifications provided on the SAMHSA website and **check the box marked 'I Agree'** before signing the face page (SF-424) of the application. **Do not include the list of certifications with your application.**
- **Project Performance Site Location(s) Form:** The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form is included with the application package found on the Grants.gov website.

- **Disclosure of Lobbying Activities:** Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or state legislatures. This includes “grassroots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or referendums/initiatives to urge those representatives to vote in a particular way. This form is included in the application package and **must** be submitted by all applicants applying for a DFC Mentoring grant. If not applicable, please indicate on the form.
- **Checklist:** The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. You **must complete the entire form** including the top portion “Type of Application,” indicating this DFC Mentoring application is a New application as well as Parts A through D. This checklist is included in the Grants.gov application packet.
- **Documentation of non-profit status** as required in the Checklist.
- **Pre-Submission Verification Checklist:** Use the checklist found in [Appendix M](#). This verification ensures that you have accurately documented the eligibility requirements and included all major components of the application. This form does not need to be submitted with the application.

2. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **11:59 PM** (Eastern Time) on **June 4, 2018**

IMPORTANT APPLICATION INFORMATION: SAMHSA’s application procedures have changed. **All applicants must register with NIH’s eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately. Do not wait to start this process. If your organization is not registered and you do not have an active eRA Commons PI account by the deadline, the application will not be accepted. No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see Appendix A for all registration requirements).

3. FUNDING LIMITATIONS/RESTRICTIONS

Applicants responding to this announcement may request funding for a project period of up to two years, at no more than \$75,000 per year. Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, satisfactory progress in meeting the project’s objectives, and a determination that continued funding would be in the best interest of the Federal Government.

The funding restrictions for this project are as follows:

- Food is **generally unallowable**. Exceptions within the DFC-M Support Program may include food used as a small incentive (not to exceed \$ 3.00 per person) to encourage participation in a community-wide event. Food costs are not allowable for general coalition or subcommittee meetings.
- No more than **10 percent** of the total federal grant award may be used for **data collection and evaluation** purposes unless approved by a SAMHSA Government Project Officer and Grants Management Specialist.
- DFC-M grant funds **may not** be passed through by contract or any other method to another entity to conduct the programmatic work on the DFC-M Program. The funded grant recipient and coalition are expected to perform the substantive role and manage the efforts carried out by this grant.
- The Authorized Representative or Business Official charged with financial oversight responsibilities for the DFC-M grant award **must** be an employee of the recipient organization and identified in the 'Personnel' budget category. **NOTE:** Program Director/Principle Investigator and Business Official cannot be the same individual. **NOTE:** (Program Director/Principle Investigator and Business Official cannot be the same individual)
- The Program Director/Principle Investigator **must** be an employee of the recipient organization, overseeing the day to day operations of the grant, and must be identified in the personnel' budget category as either Federal or Non-Federal.
- DFC-M grant funds **may not** be used to provide funding to community organizations through mini-grants, including one coalition funding another coalition.
- DFC-M grant funds **may not** be utilized for the following: law enforcement equipment, drug search detection canines or related training, drug courts, lighting, or community gardening efforts.
- DFC-M grant funds **may not** be used for stipends, as defined in the HHS Grants Policy Statement (GPS).
- Cost of Promotional items are generally unallowable. However, the exception would be for program outreach, and other specific purposes necessary to meet the requirements, goals, and objectives of the Federal award.

SAMHSA recipients must also comply with SAMHSA's standard funding restrictions, which are included in [Appendix D, Standard Funding Restrictions](#).

4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

All SAMHSA grant programs are covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (HHS) regulation at 45 CFR Part 100. Under this Order, states may design their own processes for reviewing and commenting on proposed federal assistance under covered programs. See [Appendix K](#) for additional information on these requirements as well as requirements for the Public Health System Impact Statement.

V. APPLICATION REVIEW INFORMATION

1. GENERAL INSTRUCTIONS

For FY 2018, there are **five questions** in the Project Narrative ([Section A](#)), and only these questions may be used when applying for FY 2018 DFC Mentoring funding.

Failure to use the correct FOA will result in an application being screened out and not proceeding to peer review.

2. EVALUATION CRITERIA

The DFC Mentoring Program's peer review process utilizes current or former DFC grant award recipients and experienced substance abuse prevention specialists to serve as peer reviewers. Each application is assigned to a panel of three peer reviewers for scoring, and the composite of the three scores becomes the application's final score. Upon full completion of the statutory eligibility review process and review of final scores, ONDCP begins funding with the highest scoring grant until all funds are exhausted. DFC-M grants **are not** awarded based on how many DFC and/or DFC-M funded coalitions are within a geographic boundary (e.g., state, county, and city).

NOTE: The DFC Act **requires that all** applications be considered and reviewed equally. Only eligible applications are forwarded to peer reviewers. A Year Six applicant's past DFC funding is not a factor in funding decisions.

3. APPLICATION SCORING INSTRUCTIONS

Peer reviewers will score the five questions that comprise the Project Narrative by totaling the points for each question to create a cumulative score (scores will range from 0 to 100 points). The primary funding decision criterion is the application's final peer review score. All final grant award decisions will be made by ONDCP's DFC Administrator, consistent with the DFC Act of 1997. ONDCP may also take into consideration factors relating to rural, American Indian/Alaska Native, and economically disadvantaged communities.

4. REVIEW AND SELECTION PROCESS

Applications will be screened jointly by ONDCP and SAMHSA to determine whether applicants meet all Statutory Eligibility Requirements as outlined in Table 1. Applications submitted by coalitions that meet all Statutory Eligibility Requirements will then be scored by a peer review panel. The scoring criteria can be found in [Appendix N](#) of this application.

5. RESPONDING TO THE DFC-M FOA

5.1 Overview of the Mentor/Mentee Relationship and Mentee Community (Not Scored)

The Overview of the Mentor/Mentee Relationship and Mentee Community should be placed after the Table of Contents and before the Project Narrative. This is the applicant's opportunity to "set the stage" for peer reviewers in terms of how the Mentor and Mentee coalitions have entered into a relationship for the purposes of developing a new and viable coalition. The Overview is **not** scored, does **not** count toward the 10-page limit, and can be **no more than** two pages in length.

In the Overview, explain the process that will be used for clarifying roles and expectations that will ensure a full partnership (e.g., shared decision making, managing differences, and use of funds). Discuss how both groups have determined that the DFC-M grant should be pursued and the collaborative approach used to develop this grant application. In addition, the Overview should provide context of the Mentee community and its readiness to move toward becoming DFC eligible.

NOTE: Applicants must complete the **Overview of the Mentor/Mentee Relationship and Mentee Community** for each mentee they propose to mentor within the two-page limit.

5.2 SECTION A: PROJECT NARRATIVE (SCORED; MAXIMUM OF 100 POINTS)

In writing the Project Narrative, use the instructions outlined below, which have been tailored to the DFC Mentoring Program.

- The Project Narrative **cannot** be longer than **10 pages**. Applications with a Project Narrative that exceeds the **10-page limit** will be deemed ineligible and **will not** go to peer review.
- Restrictions related to font size and page margins found in [Appendix B](#) **must** be followed or the application will be deemed ineligible and **will not** proceed to peer review.
- Respond to each question individually, building upon previous responses, so all answers together tell a cohesive story of the community, the coalition, and their efforts to successfully mentor a new coalition.
- Write all responses and required information under the correct question. Answer each question completely. In the event an applicant cannot respond to a specific element, the applicant **must** explain why they are unable to respond and offer a possible solution. The Project Narrative will be scored by how well each of the elements is answered.
- **Do not** direct peer reviewers to a previous answer in response to another question. **Do not** direct peer reviewers to documents in the Attachments.

5.3 Section A: Questions for the Project Narrative

The Mentor coalition may identify a community to be mentored that does not yet have a formal coalition. In this case, the Mentor coalition may substitute the term “Mentee coalition” for the term “Mentee community” when reading and responding to the questions found in the Project Narrative ([Section A](#)).

For the purpose of this grant application, the term “Mentee coalition” is used in the singular in order to simplify the questions found in the Project Narrative below. **In developing the application, if an applicant plans to mentor more than one coalition, all questions must be answered for each Mentee coalition within the 10-page limit.**

The following **five questions** enable applicants to tell the story of their current and future efforts to assist the Mentee coalition in becoming eligible to apply for DFC funding on its own. Applicants are **required** to type the question number followed by the bolded question. All questions must be addressed. Bolded questions are followed by lettered items outlining the required components of each response. Applicants are required to retype the letters (i.e., A:). Responses **must** follow each question and address all letters.

5.3.1 What is a Mentor coalition’s strengths that makes it qualified to serve as a mentor to newly-formed and/or developing coalition? (20 points)

- A. Discuss the history of the Mentor coalition’s successes and achievements, include measurable results in the prevention of substance use among youth (i.e., Past 30–day use, Perception of risk or harm, Perception of parental disapproval of use, Perception of peer disapproval of use for alcohol, tobacco, marijuana, and prescription drugs);
- B. Describe Mentor coalition’s record of providing training and/or technical assistance in the community (i.e., stakeholders, leaders, neighboring communities); and
- C. Describe the projected involvement of the Mentor coalition’s 12 sectors members in working directly with the Mentee coalition.

5.3.2 What are the Mentee coalition/community’s strengths that will increase the likelihood that it will become eligible to apply for DFC funding? (20 points)

- A. Efforts to mobilize, inform, and organize the Mentee coalition/community around the issue of youth substance use prevention, including efforts to engage stakeholders and DFC-required 12 sectors;
- B. Mentee coalition’s assessment of the community to determine what, if any barriers, will need to be addressed by the Mentee; and
- C. Mentee coalition’s ability to increase coalition and community capacity to implement youth substance use prevention strategies and activities.

5.3.3 What existing resources or conditions are present or lacking in the Mentee community to address youth substance use? (15 points)

- A. Youth and adult volunteers, partners, organizations, programs and systems supporting youth substance use prevention;
- B. Other coalitions and organizations already working on public health and/or public safety issues that can support the Mentee coalition;
- C. Positive environmental conditions, policies and practices (e.g., outlet density, school policies, enforcement efforts); and
- D. Training and technical assistance for the coalition and community at-large.

5.3.4 What will the Mentor coalition do during the first 12 months to assist the Mentee coalition in becoming eligible to apply for DFC funding? (30 points)

This question is answered by developing a detailed 12-Month Mentoring Plan using Table 3. This is not necessarily a plan to address youth substance use in the Mentee community, but instead a plan to move the Mentee coalition towards become a strong and viable coalition eligible for DFC funding.

A comprehensive 12-Month Mentoring Plan will include all activities, training, and/or technical assistance to be implemented in preparing the Mentee towards becoming DFC eligible. The 12-Month Mentoring Plan should list all activities, training, and/or technical assistance whether it is provided by the Mentor coalition, Mentor sector members, or an outside entity.

Creating a 12-Month Mentoring Plan:

- The Mentoring Plan **must** fall within the text of the Project Narrative and will count toward the 10-page limit.
- Applicants **must** use the template provided in Table 3.
- The 12-Month Mentoring Plan **must** cover the period of September 30, 2018 to September 29, 2019.
- Applicants **must** use Times New Roman 12-point font in the Mentoring Plan. However, Times New Roman 10-point font may be used for the tables. Applicant responses **must** adhere to all instructions provided in [Appendix B](#), Overview of Application and Submission Requirements.
- The Mentoring Plan **must** include at least the three goals provided in Table 3.
- The Mentoring Plan should be comprehensive to include all of the coalition's efforts. Applicants may include as many objectives, strategies, and activities as necessary to create a comprehensive 12-Month Mentoring Plan.
- All objectives **must** be measurable:
 - Objectives **must** indicate type/amount of change
 - Objectives **must** indicate how much change will occur including the

- specific amount of increase or decrease
- Objectives **must** include the specific population to be addressed
- Objectives **must** include a specific date (Month/Year) by when change will be accomplished
- Objectives **must** indicate how change will be measured

12-MONTH MENTORING PLAN

Applicants **must** use Table 3 below to outline the 12-Month Mentoring Plan. Cells in the following tables are intentionally left blank.

Purpose: The purpose of the DFC Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own.

Goal 1: Strengthen the Mentee coalition's organizational structure.

Objective 1: *Provide measureable objective.*

Strategy 1: *Provide specific strategy.*

Table 3: 12-Month Mentoring Plan

Activity	Who is responsible?	By when?

Goal 2: Increase the Mentee coalition's leadership and community readiness to address youth substance use problems in the Mentee community.

Objective 2: *Provide measureable objective.*

Strategy 1: *Provide specific strategy.*

Activity	Who is responsible?	By when?

Goal 3: Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive 12-Month Action Plan.

Objective 3: *Provide measureable objective.*

Strategy 1: *Provide specific strategy.*

Activity	Who is responsible?	By when?

5.3.5 How will the Mentor and Mentee coalition collaborate to ensure effective implementation of the 12-Month Mentoring Plan? (15 points)

- A. Describe the measures to be used to monitor progress and meet deadlines; and
- B. Describe the process for identifying challenges in the 12-Month Mentoring Plan and making revisions as needed.

**** From this point forward, the information submitted does not count against your 10-page limit. ****

6. SECTION B: 12-MONTH BUDGET NARRATIVE (NOT SCORED)

In this section, applicants **must** provide a 12-Month Budget Narrative to include budget details and justification for expenditures. The 12-Month Budget Narrative **must** include a description of matching resources and other support that the coalition will receive. No more than **10 percent** of the grant award may be used for data collection and evaluation purposes unless approved by a SAMHSA Government Project Officer and Grants Management Specialist. Applicants **must** use the template provided in [Appendix F](#), including providing a narrative description for each budget category for both federal requests and non-federal match. **There is no page limit for the 12-Month Budget Narrative.**

7. SECTION C: REQUIRED SUPPORTING DOCUMENTATION (NOT SCORED)

All attachment pages must be properly labeled and numbered. Applicants may hand-number pages if necessary. Although these attachments are not scored by peer reviewers, they are critical to an application's ability to move forward to peer review. This information should follow Sections A (Project Narrative) and B (Budget Narrative) of the application with continuous page numbers. It is extremely important to order and label these documents as indicated below. Additionally, the FOA provides applicants with several appendices.

Applicants **must** submit all appendices as "Attachments" or the application will be screened out and **will not** proceed to peer review.

Attachment 1 - Mentor Coalition General Information: Applicants **must** provide the completed chart in Table 20 in [Appendix G](#).

Attachment 2 - Mentee Coalition General Information: Applicants **must** provide the completed chart in Table 21 in [Appendix H](#).

Attachment 3 - Memorandum of Understanding between Mentor and Mentee Coalitions: Applicants **must** provide a separate Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee **coalition (if more than one)**. This agreement **must** outline the scope of work and expectations for both parties. The MOU should also

include a statement that the Mentee coalition has contributed to the application being submitted and agrees with the proposed Mentoring Plan. The template in [Appendix I](#) may be used. All signatures **must** be handwritten and dated. MOUs **must not** be more than 12 months old at the time of application (June 2017 – June 2018).

Attachment 4 - Resumes and Job Descriptions: Applicants **must** include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director/Principle Investigator and Project Coordinator, and each additional key paid or in-kind position. If a person has been selected but not yet hired, include a letter of commitment from that individual along with the resume and position description. If no individual has been identified for a position, a position description is still required along with an overview of the hiring plan. The key staff positions may be funded under this grant for either the Mentor or Mentee coalitions (or both), or through other Mentor coalition resources. Information on what should be included in resumes and position descriptions can be found in [Appendix J](#).

Attachment 5 – Intergovernmental Review (E.O. 12372) Requirements (Letter to the Single State Agency): If applicable, applicants **must** include a copy of the letter to the Single State Agency (SSA) showing that the applicant has informed the SSA contact person that an application has been submitted for a DFC Mentoring grant. Information related to this attachment is found in [Appendix K](#), Intergovernmental Review Requirements.

Attachment 6 – Congressional Notification: All applicants **must** include a Congressional Notification. The Project Description section **must** not be more than 35 lines; therefore, the Congressional Notification **must not** exceed one page. This document should include a simple summary of your coalition’s efforts. This information will be utilized to provide 48-hours of notice to your Congressional Members should you receive a DFC Mentoring award. Using the template provided in [Appendix L](#), include specific information pertaining to your grant application.

VI. FEDERAL AWARD ADMINISTRATIVE INFORMATION

1. REPORTING REQUIREMENTS

Program Specific

Successful applicants will be required to submit semi-annual programmatic progress reports in February and August of each year. Full details regarding specific due dates will be included in the DFC-M Terms and Conditions of the grant award.

Grants Management:

Successful applicants must also comply with the following standard grants management reporting and schedules at <https://www.samhsa.gov/grants/grants-management/reporting-requirements>, unless otherwise noted in the FOA or Notice of Award.

2. FEDERAL AWARD NOTICES

Prior to the end of September 2018, the list of awardees will be posted on the DFC website at <https://www.whitehouse.gov/ondcp/grants-programs>. For all awardees, a Notice of Award (NoA) will then be sent electronically to the individual listed as the Business Official on the Application for Federal Assistance. The NoA is the sole obligating document that allows the grant recipient to receive federal funding for work on the grant project.

You will receive an email from SAMHSA, via NIH's eRA Commons, that will describe the process for how you can view the general results of the review of your application, including the score that your application received.

If you are approved for funding, a Notice of Award (NoA) will be emailed to the Business Official's (BO) and Project Director/Principal Investigator's (PD/PI) email address identified on the HHS Checklist form submitted with the application. Hard copies of the NoA will no longer be mailed via postal service. The NoA is the sole obligating document that allows you to receive federal funding for work on the grant project. Information about what is included in the NoA can be found at: <https://www.samhsa.gov/grants/grants-management/notice-award-noa>.

If you are not funded, you will receive a notification from SAMHSA, via NIH's eRA Commons.

NOTE: DFC grant funds may not be used to supplant current funding of existing activities. "Supplant" is defined as replacing funding of a grant recipient's existing program with funds from a federal grant.

VII. AGENCY CONTACTS

For questions about program issues contact:

DFC FOA Helpline Team
Division of Community Programs
(240) 276-1270
dfcnew@samhsa.hhs.gov

For questions on grants management and budget issues contact:

Odessa Crocker
Office of Financial Resources
Division of Grants Management
Substance Abuse and Mental Health Services Administration
5600 Fishers Lane
Rockville, Maryland 20857
(240) 276-1400
DGM@samhsa.hhs.gov

Appendix A – Application and Submission Requirements

IMPORTANT APPLICATION INFORMATION: SAMHSA’s application procedures have changed. All applicants must register with NIH’s eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you **MUST** start the registration process immediately. Do not wait to start this process. **If your organization is not registered and you do not have an active eRA Commons PI account by the deadline, the application will not be accepted. No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see below for all registration requirements).

1. GET REGISTERED

You are required to complete **four (4) registration processes:**

1. Dun & Bradstreet Data Universal Numbering System (to obtain a DUNS number);
2. System for Award Management (SAM);
3. Grants.gov; and
4. eRA Commons.

If this is your first time submitting an application, you must complete all four registration processes. If you have already completed registrations for DUNS, SAM, and Grants.gov, you need to ensure that your accounts are still active, and then register in **eRA Commons**. If you have not registered in Grants.gov, the registration for Grants.gov and eRA Commons can be done concurrently. You must register in eRA Commons and receive a Commons Username in order to have access to electronic submission, receive notifications on the status of your application, and retrieve grant information. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

The organization must maintain an active and up-to-date SAM and DUNS registrations in order for SAMHSA to make an award. If your organization is not compliant when SAMHSA is ready to make an award, SAMHSA may determine that your organization is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

1.1 Dun & Bradstreet Data Universal Numbering System (DUNS) Registration

SAMHSA applicants are required to obtain a valid DUNS Number, also known as the Unique Entity Identifier, and provide that number in the application. Obtaining a DUNS number is easy and there is no charge.

To obtain a DUNS number, access the Dun and Bradstreet website at: <http://www.dnb.com> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a federal grant application. **The DUNS number you use on your application must be registered and active in the System for Award Management (SAM).**

1.2 System for Award Management (SAM) Registration

You must also register with the System for Award Management (SAM) and continue to maintain active SAM registration with current information during the period of time your organization has an active federal award or an application under consideration by an agency (unless you are an individual or federal agency that is exempted from those requirements under 2 CFR § 25.110(b) or (c), has an exception approved by the agency under 2 CFR § 25.110(d)). To create a SAM user account, Register/Update your account, and/or Search Records, go to <https://www.sam.gov>.

It is also highly recommended that you renew your account prior to the expiration date. **SAM information must be active and up-to-date, and should be updated at least every 12 months to remain active (for both recipients and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. Grants.gov rejects electronic submissions from applicants with expired registrations.

If your SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new account requires. The renewal process can take up to one month.

1.3 Grants.gov Registration

[Grants.gov](http://www.grants.gov) is an online portal for submitting federal grant applications. It requires a one-time registration in order to submit applications. While Grants.gov registration is a one-time only registration process, it consists of multiple sub-registration processes (i.e., DUNS number and SAM registrations) before you can submit your application. [Note: eRA Commons registration is separate].

You can register to obtain a Grants.gov username and password at <http://www.grants.gov/web/grants/register.html>.

If you have already completed Grants.gov registration and ensured your **Grants.gov and SAM accounts are up-to-date and/or renewed**, please skip this section and focus on the eRA Commons registration steps noted below. If this is your first time submitting an application through Grants.gov, registration information can be found at the Grants.gov “[Applicants](#)” tab. The person submitting your application must be properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (first page). See the Organization Registration User Guide for details at the following Grants.gov link: <http://www.grants.gov/web/grants/applicants/organization-registration.html>.

1.4 eRA Commons Registration

eRA Commons is an online interface managed by NIH that allows applicants, recipients, and federal staff to securely share, manage, and process grant-related information. Organizations applying for SAMHSA funding must register in eRA Commons. This is a one-time registration, separate from Grants.gov registration. In addition to the organization registration, Business Officials and Program Directors/Principle Investigators listed as key personnel on SAMHSA applications must also register in eRA Commons and receive a Commons ID in order to have access to electronic submission and retrieval of application/grant information. It is strongly recommended that you start the eRA Commons registration process **at least six (6) weeks** prior to the application due date. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

For organizations registering with eRA Commons for the first time, either the Authorized Organization Representative (AOR) from the SF-424 or the Business Official (BO) from the HHS Checklist must complete the online [Institution Registration Form](#). Instructions on how to complete the online Institution Registration Form is provided on the eRA Commons Online Registration Page.

[Note: You must have a valid and verifiable DUNS number to complete the eRA Commons registration.]

After the organization's representative (AOR or BO) completes the online Institution Registration Form and clicks Submit, the eRA Commons will send an e-mail notification from era-notify@mail.nih.gov with the link to confirm the email address. Once the e-mail address is verified, the registration request will be reviewed and confirmed via email. If your request is denied, the representative will receive an email detailing the reason for the denial. If the request is approved, the representative will receive an email with a Commons User ID (with the Signing Official 'SO' role) and temporary password. The representative will need to log into Commons with the temporary password, at which time the system will provide prompts to change the temporary password to one of their choosing. Once the designated contact Signing Official (SO) signs the registration request, the organization will be active in Commons and any user with the SO role will be able to create and maintain additional accounts for the organization's staff, including accounts for those designated as Program Directors/Principle Investigators.

Important: The eRA Commons requires organizations to identify at least one SO, who can be either the AOR from the SF-424 or the BO from the HHS Checklist, and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application. The primary SO must create the account for the PD/PI listed as the PD/PI role on the HHS Checklist assigning that person the 'PI' role in Commons. Note that you must enter the PD/PI's Commons Username into the 'Applicant Identifier' field of the SF-424 document.

You can find additional information about the eRA Commons registration process at

https://era.nih.gov/reg_accounts/register_commons.cfm.

2. APPLICATION COMPONENTS

You must complete your application using eRA ASSIST, Grants.gov Workspace or another system to system provider. You will also need to go to the SAMHSA website to download the required documents you will need to apply for a SAMHSA grant or cooperative agreement.

2.1 How to Download the Application Package (Grants.gov)

On the Grants.gov site (<http://www.Grants.gov>), select the ‘Apply for Grants’ option from the ‘Applicants’ Tab at the top of the screen. You will be directed to the ‘[Apply for Grants](#)’ page. Click on the ‘Get Application Package’ tab located on the right of the Grants.gov ‘Apply for Grants’ page. You will be directed to the ‘[Get Application Package](#)’ page where you will search for the appropriate funding announcement number (called the funding opportunity number) or the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the funding announcement number and CFDA number on the cover page of the FOA.

For more information on the application download process, go to the Grants.gov ‘Apply for Grants’ page. Download both the Application Instruction and Application Package on the ‘Apply for Grants’ page. You can view, print, or save all the forms in the Application Package and then complete them for electronic submission to Grants.gov. Completed forms can also be saved and printed for your records.

2.2 Additional Documents for Submission (SAMHSA Website)

You will find additional materials you will need to complete your application on the SAMHSA website at <http://www.samhsa.gov/grants/applying/forms-resources>.

For a **full list of required application components**, refer to [Section IV-1, Required Application Components](#).

3. WRITE AND COMPLETE APPLICATION

After downloading and retrieving the required application components and completing the registration processes, it is time to write and complete your application. With SAMHSA’s transition to NIH’s eRA grants system, there are **new application formatting requirements and validations**. All files uploaded with the Grants.gov application **MUST** be in **Adobe PDF** file format. Directions for creating PDF files can be found on the Grants.gov website. Please see [Appendix B](#) for all application formatting and validation requirements. **Applications that do not comply with these requirements will be screened out and will not be reviewed.**

SAMHSA strongly encourages you to sign up for Grants.gov email notifications regarding this FOA. If the FOA is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

3.1 Required Application Components

Standard Application Components

Applications must include the following required application components listed in the table below. This table consists of a full list of standard application components, a description of each required component, and its source for application submission.

#	Standard Application Components	Description	Source
1	SF-424 (Application for Federal Assistance) Form	This form must be completed by applicants for all SAMHSA grants and cooperative agreements.	Grants.gov
2	SF-424 A (Budget Information – Non-Construction Programs) Form	Use SF-424A. Fill out Sections A, B, D and E of the SF-424A. Section C should only be completed if applicable. It is highly recommended that you use the sample budget format in the FOA.	Grants.gov
3	HHS Checklist Form	The HHS Checklist ensures that you have obtained the proper signatures, assurances, and certifications. You are not required to complete the entire form, but please include the top portion of the form (“ Type of Application ”) indicating if this is a new, noncompeting continuation, competing continuation, or supplemental application; the Business Official and Program Director/Project Director/Principal Investigator contact information (Part C); and your organization’s nonprofit status (Part D, if applicable). All SAMHSA Notices of Award (NoAs) will be emailed by SAMHSA via NIH’s eRA Commons to the Project Director/Principal Investigator (PD/PI), and Signing Official/Business Official (SO/BO).	Grants.gov
4	Project/Performance Site Location(s) Form	The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed.	Grants.gov
5	Project Abstract Summary	Your total abstract must not be longer than 35 lines. It should include the project name, population(s) to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and	Grants.gov

#	Standard Application Components	Description	Source
		throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reports to Congress, or press releases.	
6	Project Narrative Attachment	The Project Narrative describes your project. The application must address how your organization will implement and meet the goals and objectives of the program. You must attach the Project Narrative file (Adobe PDF format only) inside the Project Narrative Attachment Form.	Grants.gov
7	Budget Justification and Narrative Attachment	You must include a detailed Budget Narrative in addition to the Budget Form SF-424A. In preparing the budget, adhere to any existing federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov	Grants.gov
8	SF-424 B (Assurances for Non-Construction) Form	You must read the list of assurances provided on the SAMHSA website and check the box marked 'I Agree' before signing the first page (SF-424) of the application.	SAMHSA Website
9	Disclosure of Lobbying Activities (SF-LLL) Form	Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before Congress or state legislatures. You must sign and submit this form, if applicable.	Grants.gov
10	Other Attachments Form	Refer to the Supporting Documents below. Use the Other Attachments Form to attach all required additional/supporting documents listed in the table below.	Grants.gov

Supporting Documents

In addition to the Standard Application Components listed above, the following supporting documents are necessary for the review of your application. Supporting documents must be attached to your application. **For each of the following application components, attach each document (Adobe PDF format only) using the Other Attachments Form from the Grants.gov application package.**

#	Supporting Documents	Description	Source
1	HHS 690 Form	Every grant applicant must have a completed HHS 690 form (PDF 291 KB) on file with the Department of Health and Human Services.	SAMHSA Website
2	Charitable Choice Form SMA 170	See Section IV-1 of the FOA to determine if you are required to submit Charitable Choice Form SMA 170. If you are, you can upload this form to Grants.gov when you submit your application.	SAMHSA Website
3	Resumes and Job Descriptions	See Appendix J of this document for additional instructions for completing these sections.	Appendix J of this document.
5	Additional Documents in the FOA	The FOA will indicate the attachments you need to include in your application.	FOA: Section V-7C .

4. SUBMIT APPLICATION

4.1 Electronic Submission (Grants.gov, ASSIST)

After completing all required registration and application requirements, SAMHSA requires applicants to **electronically submit** using eRA ASSIST, Grants.gov Downloadable Forms, Grants.gov Workspace or another system to system provider. Information on each of these options is below:

- 1) **ASSIST** – The Application Submission System and Interface for Submission Tracking (ASSIST) is an NIH sponsored online interface used to prepare applications using the SF424 form set, submit electronically through Grants.gov to SAMHSA and other participating agencies, and track grant applications. [Note: ASSIST requires an eRA Commons ID to access the system.]

- 2) **Grants.gov Downloadable Forms** – You can download an application package from Grants.gov, complete the forms offline, submit the completed forms to Grants.gov, and track your application in eRA Commons.
- 3) **Grants.gov Workspace** – You can use the shared, online environment of the Grants.gov Workspace to collaboratively work on different forms within the application package.

The specific actions you need to take to submit your application will vary by submission method as listed above. The steps to submit your application are as follows:

To submit to Grants.gov using ASSIST: [eRA Modules, User Guides, and Documentation | Electronic Research Administration \(eRA\)](#)

To submit to Grants.gov using downloadable forms are available at: [STEP 3: Submit an Application Package | GRANTS.GOV](#)

To submit to Grants.gov using the Grants.gov Workspace:

<http://www.grants.gov/web/grants/applicants/workspace-overview.html>

Regardless of the option you use, your application will be subject to the same registration requirements, completed with the same data items, routed through Grants.gov, validated against the same agency business rules, assembled in a consistent format for review consideration, and tracked in eRA Commons. All applications that are successfully submitted must be validated by Grants.gov before proceeding to the NIH eRA Commons system and validations.

On-time submission requires that electronic applications be error-free and made available to SAMHSA for processing from the NIH eRA system on or before the application due date and time. Applications must be submitted to and validated successfully by Grants.gov and eRA Commons no later than **11:59 PM** Eastern Time on the application due date.

You are strongly encouraged to allocate additional time prior to the submission deadline to submit your application and to correct errors identified in the validation process. You are also encouraged to check the status of your application submission to determine if the application is complete and error-free.

If you encounter problems when submitting their applications in Grants.gov, you must attempt to resolve them by contacting the Grants.gov Help Desk at:

- By e-mail: support@grants.gov
- By phone: (toll-free) 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding federal holidays.

Make sure you receive a case/ticket/reference number that documents the issues/problems with Grants.gov.

Additional support is also available from the NIH eRA Service desk by:

- E-mail: <http://grants.nih.gov/support/index.html>
- Phone: 301-402-7469 or (toll-free) 1-866-504-9552. The NIH eRA Service desk is available Monday – Friday, 7 a.m. to 8 p.m. Eastern Time, excluding federal holidays.

If you experience problems accessing or using ASSIST (see below), you can:

- Access the ASSIST Online Help Site at: <https://era.nih.gov/erahelp/assist/>
- Or contact the eRA Help Desk

SAMHSA highly recommends that you submit your application 24-72 hours before the submission deadline. Many submission issues can be fixed within that time and you can attempt to re-submit.

4.2 Waiver of Electronic Submission

Some applicants living in remote and rural areas may be unable to submit electronically through the eRA Commons/Grants.gov portals because their physical location does not have adequate access to the Internet. Inadequate Internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship.

In these cases, applicants may request a waiver of the electronic submission requirement. The process for applying for a waiver is described below. Questions on applying for a waiver may be directed to SAMHSA's Division of Grant Review, 240-276-1199.

All applicants must register in the eRA Commons system, System for Award Management (SAM) and Grants.gov, even those who intend to request a waiver. If you do not have an active SAM registration prior to submitting your application, it will be screened out and returned to you without review.

A written waiver request must be received by SAMHSA at least 30 days in advance of the application due date stated on the cover page of this FOA. The waiver request must be e-mailed to Christopher.craft@samhsa.hhs.gov or mailed to:

Christopher Craft, Director of Grant Review
Office of Financial Resources
Substance Abuse and Mental Health Services Administration
Room 17E06
5600 Fishers Lane
Rockville, MD 20857

Applicants are encouraged to request a waiver by e-mail, when possible. When requesting a waiver, the following information must be included:

- SAMHSA FOA title and announcement number;
- Name, address, and telephone number of the applicant organization as they will appear in the application;
- Applicant organization's DUNS number;
- Authorized Organization Representative (AOR) for the named applicant;
- Name, telephone number, and e-mail of the applicant organization's Contact Person for the waiver; and
- Details of why the organization is unable to submit electronically through the eRA Commons/Grants.gov portal, explaining why their physical location does not have adequate access to the Internet.

The Office of Grant Review will either e-mail (if the waiver request was received by e-mail) or express mail/deliver (if the waiver request was received by mail) the waiver decision to the Contact Person no later than seven calendar days prior to the application due date. If the waiver is approved, a paper application must be submitted. SAMHSA will not accept any applications that are sent by e-mail or facsimile or hand carried. If the waiver is disapproved, the applicant organization must be prepared to submit through eRA Commons/Grants.gov or forfeit the opportunity to apply. The written approval must be included as the cover page of the paper application and the application must be received by the due date.

A paper application will not be accepted without the waiver approval and will be returned to the applicant if it is not included. Paper applications received after the due date will not be accepted.

5. AFTER SUBMISSION

5.1 System Validations and Tracking

After you complete and comply with all registration and application requirements and submit your application, the application will be validated by Grants.gov. You will receive a notification that your application is being processed. You will receive two additional e-mails from Grants.gov within the next 24-48 hours (one notification email will confirm receipt of the application in Grants.gov, and the other notification email will indicate that the application was either successfully validated by the Grants.gov system or rejected due to errors). It is important that you retain this Grants.gov tracking number. **Receipt of the Grants.gov tracking number is the only indication that Grants.gov has successfully received and validated your application.** If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance (see resources for assistance in [4.1](#)).

If Grants.gov identifies any errors and rejects your application with a "Rejected with Errors"

status, you must address all errors and submit again. If no problem is found, Grants.gov will allow the eRA system to retrieve the application and check it against its own agency business rules (eRA Commons Validations).

After you successfully submit your application through Grants.gov, your application will go through eRA Commons validations. You must check your application status in eRA Commons. You must have an eRA Commons ID in order to have access to electronic submission and retrieval of application/grant information.

If no errors are found, the application will be assembled in the eRA Commons. At this point, you can view your application in eRA commons. It will then be forwarded to SAMHSA as the receiving institution for further review. If errors are found, you will receive a System Error and/or Warning notification regarding the problems found in the application. You must take action to make the required corrections, and re-submit the application through Grants.gov before the application due date and time.

You are responsible for viewing and tracking your applications in the eRA Commons after submission through Grants.gov to ensure accurate and successful submission. Once you are able to access your application in the eRA Commons, be sure to review it carefully as this is what reviewers will see.

5.2 eRA Commons: Warning vs. Error Notifications

You may receive a System Warning and/or Error notification after submitting an application. Take note that there is a distinction between System Errors and System Warnings.

Warnings – If you receive a Warning notification after the application is submitted, you are not required to resubmit the application. The reason for the Warning will be identified in the notification. It is at your discretion to choose to resubmit, but if the application was successfully received, it does not require any additional action.

Errors – If you receive an Error notification after the applications is submitted, you must correct and resubmit the application. The word Error is used to characterize any condition which causes the application to be deemed unacceptable for further consideration.

5.3 System or Technical Issues

If you encounter a system error that prevents you from completing the application submission process on time, the BO from your organization will receive an email notification from eRA Commons. SAMHSA highly recommends contacting the eRA Help Desk and submitting a web ticket to document your good faith attempt to submit your application, and determining next steps. See [4.1](#) for more information on contacting the eRA Help Desk.

5.4 Resubmitting a Changed/Corrected Application

If SAMHSA does not receive your application by the application due date as a result of a failure in the SAM, Grants.gov, or NIH's eRA Commons systems, you must contact the Division of Grant Review within **one business day after the official due date at:** dgr.applications@samhsa.hhs.gov and provide the following:

- A case number or email from SAM, Grants.gov, and/or NIH's eRA system that allows SAMHSA to obtain documentation from the respective entity for the cause of the error.

SAMHSA will consider the documentation to determine **if** you followed Grants.gov and NIH's eRA requirements and instructions, met the deadlines for processing paperwork within the recommended time limits, met FOA requirements for submission of electronic applications, and made no errors that caused submission through Grants.gov or NIH's eRA to fail. No exceptions for submission are allowed when user error is involved. Please note that system errors are extremely rare.

[Note: When resubmitting an application, please ensure that the **Project Title is identical to the Project Title in the originally submitted application** (i.e., no extra spacing) as the Project Title is a free-text form field.]

Appendix B – Formatting Requirements and System Validation

1. SAMHSA FORMATTING REQUIREMENTS

SAMHSA’s goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA’s obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. See below for a list of formatting requirements required by SAMHSA:

- Text must be legible. Pages must be typed in black, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. **Note:** You may use Times New Roman 10 only for charts or tables.
- You must submit your application and all attached documents in Adobe PDF format or your application will not be forwarded to eRA Commons and will not be reviewed.
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.
- Black print should be used throughout your application, including charts and graphs (no color).
- The page limits for Attachments stated in the FOA: Section IV-1 should not be exceeded.

If you are submitting more than one application under the same announcement number, you must ensure that the Project Title in Field 15 of the SF-424 is unique for each submission.

2. GRANTS.GOV FORMATTING AND VALIDATION REQUIREMENTS

- Grants.gov allows the following list of UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, and period. Other UTF-8 characters should not be used as they will not be accepted by NIH’s eRA Commons, as indicated in item #10 in the table below.
- Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a PDF file. Using a higher resolution setting or different file type will result in a larger file size, which could result in rejection of your application.
- Any files uploaded or attached to the Grants.gov application must be PDF file format and must contain a valid file format extension in the filename. In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted.

3. eRA COMMONS FORMATTING AND VALIDATION REQUIREMENTS

The following table is a list of formatting requirements and system validations required by eRA Commons and will result in errors if not met. The application must be ‘error free’ to be processed through the eRA Commons. There may be additional validations which will result in Warnings but these will not prevent the application from processing through the submission process.

If you do not adhere to these requirements, you will receive an email notification from era-notify@mail.nih.gov to take action and adhere to the requirements so that your application can be processed successfully. It is highly recommended that you submit your application 24-72 hours before the submission deadline to allow for sufficient time to correct errors and resubmit the application. If you experience any system validation or technical issues after hours on the application due date, contact the eRA Help Desk and submit a Web ticket to document your good-faith attempt to submit your application.

#	eRA Validations	Action if the Validation is not met
1	Applicant Identifier: The Commons Username provided in the PD/PI Credential field for the PD/PI must be valid and affiliated with the organization (matching on the Org Primary DUNS).	<p>If the PD/PI Credentials are not provided, the applicant will receive the following error message from eRA Commons: "The Commons Username must be provided in the PD/PI Credential field for the PD/PI."</p> <p>If the Username provided is not a valid Commons account, the applicant will receive the following error message from eRA Commons: "The Commons Username provided in the PD/PI Credential field for is not a recognized Commons account."</p> <p>If the Username is not affiliated with the organization submitting the application and have the PI role, the applicant will receive the following error message from eRA Commons: "The Commons account provided in the Credential field for the PD/PI is either not affiliated with the applicant organization or does not hold the PI role. Check with your Commons Account Administrator to make sure your account affiliation and roles are set-up correctly."</p>
2	DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).	<p>If the DUNS number provided has invalid characters (other than 9 or 13 numbers) after stripping of dashes, the applicant will receive the following error message from eRA Commons: "The DUNS number for <insert form name> is not in the valid format of DUNS or DUNS+4 number (DUNS should be 9 or 13 digits; no letters or special characters)."</p>
3	Submit required documentation for the FOA. [Note: We recommend you use the latest package from Grants.gov, which will have the latest forms and templates required.]	<p>If you do not submit the documentation required for the FOA, the applicant will receive the following error message from eRA Commons: "The format of the application does not match the format of the FOA. Please contact the eRA Help Desk for assistance."</p>

#	eRA Validations	Action if the Validation is not met
4	Check the “Changed/Corrected Application” box in the SF424 form after making changes/corrections to resubmit an application. Refer to <u>Section II-5.4</u> for more information on resubmission criteria.	If you change/correct an error in your application, any subsequent submissions for the same FOA will result in an error, and the applicant will receive the following error message from eRA Commons: “This application has been identified as a duplicate of a previous submission. The ‘Type of Submission’ should be set to Changed/Corrected if you are addressing errors/warnings.”
5	Applications cannot be larger than 1.2GB	If the application exceeds 1.2GB, the applicant will receive the following error message from eRA Commons: “The application did not follow the agency-specific size limit of 1.2 GB. Please resize the application to be no larger than 1.2GB before submitting.”
6	The Funding Opportunity Announcement (FOA) number must exist.	If you enter an FOA number that does not exist, the applicant will receive the following error message from eRA Commons: “The Funding Opportunity Announcement number does not exist.”
7	All documents and attachments must be in PDF format.	If you submit attachments which are not in PDF format, the applicant will receive the following error message from eRA Commons: “The <attachment> attachment is not in PDF format. All attachments must be provided to the agency in PDF format with a .pdf extension. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm .”
8	All attachments should comply with the following formatting requirement: <ul style="list-style-type: none"> PDF attachments cannot be empty (0 bytes). 	If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: “The {attachment} attachment was empty. PDF attachments cannot be empty, password protected or encrypted. Please submit a changed/corrected application with the correct PDF attachment. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm .”
9	All attachments should comply with the following formatting requirement:	If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: “The <attachment> attachment contained formatting or

#	eRA Validations	Action if the Validation is not met
	<ul style="list-style-type: none"> PDF attachments cannot have Meta data missing, cannot be encrypted, password protected or secured documents. 	features not currently supported by NIH: <condition returned>. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm .
10	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> Size of PDF attachments cannot be larger than 8.5 x 11 inches (horizontally or vertically). <p>[Note: It is recommended that you limit the size of attachments to 35 MB.]</p>	<p>If you submit attachments that do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons:</p> <p>“Filename <file> cannot be larger than U.S. standard letter paper size of 8.5 x 11 inches. See the PDF guidelines at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm.”</p>
11	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> PDF attachments should have a valid file name. Valid file names must include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period. 	<p>If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons:</p> <p>“The <attachment> attachment filename is invalid. Valid filenames may only include the following characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, or period. No special characters (including brackets) can be part of the filename.”</p>
12	<p>The contact person’s email in the SF-424 Section F, must contain a ‘@’, with at least 1 and at most 64 chars preceding and following the ‘@’. Control characters (ASCII 0 through 31 and 127), spaces and special chars <> () [] \ , ; : are not valid.</p>	<p>If the contact person’s email address does not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons:</p> <p>“The submitted e-mail address for the person to be contacted {email address}, is invalid. Must contain a ‘@’, with at least 1 and at most 64 chars preceding and following the ‘@’. Control characters (ASCII 0 through 31 and 127), spaces and special chars <> () [] \ , ; : are not valid.”</p>
13	<p>Congressional district code of applicant (after truncating) must be valid.</p> <p>[Note: Applies to form SF-424,</p>	<p>If the Congressional district code of the applicant is not valid, the applicant will receive the following error message from eRA Commons:</p> <p>“Congressional district <Congressional District> is invalid.</p>

#	eRA Validations	Action if the Validation is not met
	items 16a and 16b]	To locate your district, visit http://www.house.gov/ ”
14	Authorized Representative email must contain a ‘@’, with at least 1 and at most 60chars preceding and following the ‘@’. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > () [] \ , ; : are not valid.	If the Authorized Representative email address does not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: “Must contain a ‘@’, with at least 1 and at most 64 chars preceding and following the ‘@’. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > () [] \ , ; : are not valid. The Person to be contacted email address also provided on the SF 424 will be used instead.”
15	Budget Validations	If the budget form fields below do not comply with the form guidelines, the applicant will receive the following error message from eRA Commons:
16	SF424-A: Section A – Budget Summary There are total fields at the end of rows or at the bottom of columns that must equal the sum of the elements for that row or column	Ensure that the sum of Grant Program Function or Activity (a) elements entered equals the total amounts in the Total field.
17	SF424-A: Section B – Budget Categories The TOTALS Total in Column 5 - Row k does not equal to SECTION A – Budget Summary: 5.Totals Total (g).	Ensure that the TOTALS Total (row k, column 5) equals the Budget Summary Totals in section A, row 5 column g.
18	SF424-A: Section D – Forecasted Cash Needs The Federal amount for the 1st Year sum does not equal to Section A Total for 1st Year Federal Totals The Non-Federal Total for 1st Year sum does not equal to Estimated Unobligated Funds Non-Federal Totals (d-5) + New or Revised Budget Non-	Ensure that the Federal Total for 1st year, in Section D- Forecasted Needs equals the Section A, New or Revised Budget Federal Totals (e-5) amount. Ensure that the Non-Federal Total for 1st year equals the sum of Estimated Unobligated Funds Non-Federal Totals (d-5) and New or Revised Budget Non-Federal Totals (f-5) on Section A.

#	eRA Validations	Action if the Validation is not met
	<p>Federal Totals (f-5) The Total for 1st Year TOTAL in Section D does not equal to the Totals Total (Column 5, Row G) in Section A</p>	<p>Ensure that the Forecasted Cash Needs: 15. TOTAL equals to SECTION A – Budget Summary: 5.Totals Total (g).</p>
19	<p>SF424-A: Section E – Budget Estimates Of Federal Funds Needed For Balance of The project The number of budget years/periods does not match the span of the project</p>	<p>Ensure that the project period years on the SF 424 block 17 matches the provided budget periods in the SF 424 A. Enter data for the first budget period in Section D and enter future budget periods in Section E. Please refer to agency guidance if applicable.</p>

Appendix C – Developing Measureable Objectives

To be able to effectively evaluate your project, it is critical that you develop measurable objectives. This appendix provides information on developing goals and objectives. It also provides examples of well-written goals and measurable objectives.

OBJECTIVES

Definition – Objectives describe the results to be achieved and the manner in which they will be achieved. Multiple objectives are generally needed to address a single goal. Well-written objectives help set program priorities and targets for progress and accountability. It is recommended that you avoid verbs that may have vague meanings to describe the intended outcomes, like “understand” or “know” because it may prove difficult to measure them. Instead, use verbs that document action, such as: “By the end of 2018, 75% of program participants will be *placed* in permanent housing.”

In order to be effective, objectives should be clear and leave no room for interpretation.

SMART is a helpful acronym for developing objectives that are *specific, measurable, achievable, realistic, and time-bound*:

Specific – Includes the “who” and “what” of program activities. Use only one action verb to avoid issues with measuring success. For example, “Outreach workers will administer the HIV risk assessment tool to at least 100 injection drug users in the population of focus” is a more specific objective than “Outreach workers will use their skills to reach out to drug users on the street.”

Measurable – How much change is expected. It must be possible to count or otherwise quantify an activity or its results. It also means that the source of and mechanism for collecting measurement data can be identified and that collection of the data is feasible for your program. A baseline measurement is required to document change (e.g., to measure the percentage of increase or decrease). If you plan to use a specific measurement instrument, it is recommended that you incorporate its use into the objective. Example: By 9/18 increase by 10% the number of 8th, 9th, and 10th grade students who disapprove of marijuana use as measured by the annual school youth survey.

Achievable – Objectives should be attainable within a given time frame and with available program resources. For example, “The new part-time nutritionist will meet with seven teenage mothers each week to design a complete dietary plan” is a more achievable objective than “Teenage mothers will learn about proper nutrition.”

Realistic – Objectives should be within the scope of the project and propose reasonable programmatic steps that can be implemented within a specific time frame. For example, “Two ex-gang members will make one school presentation each week for two months to raise

community awareness about the presence of gangs” is a more realistic objective than “Gang-related violence in the community will be eliminated.”

Time-bound – Provide a time frame indicating when the objective will be measured or a time by when the objective will be met. For example, “Five new peer educators will be recruited by the second quarter of the first funding year” is a better objective than “New peer educators will be hired.”

Examples:

Non-SMART Objective	Critique	SMART Objective
Teachers will be trained on the selected evidence-based substance abuse prevention curriculum.	The objective is not SMART because it is not <i>specific</i> , <i>measurable</i> , or <i>time-bound</i> . It can be made SMART by <i>specifically</i> indicating who is responsible for training the teachers, how many will be trained, who they are, and by when the trainings will be conducted.	<i>By June 1, 2018, LEA supervisory staff</i> will have trained <i>75% of health education teachers in the local school district</i> on the selected, evidence-based substance abuse prevention curriculum.
90% of youth will participate in classes on assertive communication skills.	This objective is not SMART because it is not <i>specific</i> or <i>time-bound</i> . It can be made SMART by indicating <i>who</i> will conduct the activity, <i>by when</i> , and <i>who</i> will participate in the lessons on assertive communication skills.	By the <i>end of the 2018 school year</i> , <i>district health educators</i> will have conducted classes on assertive communication skills for 90% of youth <i>in the middle school</i> receiving the <i>substance abuse and HIV prevention curriculum</i> .
Train individuals in the community on the prevention of prescription drug/opioid overdose-related deaths.	This objective is not SMART as it is not <i>specific</i> , <i>measurable</i> or <i>time-bound</i> . It can be made SMART by specifically indicating <i>who</i> is responsible for the training, <i>how many</i> people will be trained, <i>who</i> they are, and by <i>when</i> the training will be conducted.	<i>By the end of year two of the project</i> , the <i>Health Department</i> will have trained <i>75% of EMS staff in the County Government</i> on the selected curriculum addressing the prevention of prescription drug/opioid overdose-related deaths.

Appendix D – Standard Funding Restrictions

HHS codified the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*, 45 CFR Part 75. In Subpart E, cost principles are described and allowable and unallowable expenditures for HHS recipients are delineated. 45 CFR Part 75 is available at <http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles>. Unless superseded by program statute or regulation, follow the cost principles in 45 CFR Part 75 and the standard funding restrictions below.

SAMHSA grant funds must be used for purposes supported by the program and may not be used to:

- Exceed Salary Limitation: The Consolidated Appropriations Act, 2016 (Pub. L. 113-76) signed into law on January 10, 2016, limits the salary amount that may be awarded and charged to SAMHSA grants and cooperative agreements. Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary can be found in SAMHSA's standard terms and conditions for all awards at <https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>. This amount reflects an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to sub awards/subcontracts under a SAMHSA grant or cooperative agreement.
- Pay for any lease beyond the project period.
- Provide treatment and recovery services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).
- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- Pay for housing other than residential mental health and/or substance abuse treatment.
- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)
- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.

- Cover unallowable costs associated with the use of federal funds are permitted to fund evidence-based practices (EBPs). Other sources of funds may be used for unallowable costs (e.g., meals, sporting events, entertainment). Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, or in-kind contributions.
- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.
- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals.

Note: SAMHSA discretionary grant funds may be used for non-cash incentives up to \$30. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. A recipient or treatment or prevention provider may provide up to \$30 non-cash incentive to individuals to participate in required data collection follow up. This amount may be paid for participation in each required follow up interview.

- Meals are generally unallowable unless they are an integral part of a conference grant or specifically stated as an allowable expense in the FOA. Grant funds may be used for light snacks, not to exceed \$3.00 per person.
- Consolidated Appropriations Act, 2016, Division H states, SEC. 520, notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug. Provided, that such limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant state or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the state or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance with state and local law. Contact the GPO for further guidance.
- Pay for pharmaceuticals for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), tuberculosis (TB), and hepatitis B and C, or for psychotropic drugs.

- Outside individuals or companies that prepare or participate in the preparation of grant applications may not be contractors on those grants per 45 CFR 75.328, which addresses full and open competition.

Appendix E – Administrative and National Policy Requirements

If your application is funded, you must comply with all terms and conditions of the NoA. SAMHSA's standard terms and conditions are available on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

HHS Grants Policy Statement (GPS)

If your application is funded, you are subject to the requirements of the HHS Grants Policy Statement (GPS) that are applicable based on recipient type and purpose of award. This includes any requirements in Parts I and II of the HHS GPS that apply to the award. The HHS GPS is available at <http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement>. The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the NoA).

HHS Grant Regulations

If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 75. For more information see the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles>.

Additional Terms and Conditions

Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:

- actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
- requirements relating to additional data collection and reporting;
- requirements relating to participation in a cross-site evaluation;
- requirements to address problems identified in review of the application; or revised budget and narrative justification.

Performance Goals and Objectives

If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. See <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html>. The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. See <http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html>; and <http://www.hhs.gov/civil-rights/for-providers/index.html>. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. See <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>. Contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/contact-us/index.html> or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.

Cultural and Linguistic Competence

Recipients of federal financial assistance (FFA) from HHS serve culturally and linguistically diverse communities that are not just defined by race or ethnicity, but also socio-economic status, sexual orientation, gender identity, physical and mental ability, age, and other factors. Organizational behaviors, practices, attitudes, and policies across all SAMHSA-supported entities respect and respond to the cultural diversity of communities, clients and students served. If your application is funded, you must ensure access to quality health care for all. Quality care means access to services, information, and materials delivered by trained providers in a manner that factor in the language needs, health literacy, culture, and diversity of the populations served. Quality also means that data collection instruments used should adhere to culturally and linguistically appropriate norms. For additional information and guidance, refer to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) published by the U.S. Department of Health and Human Services at <https://www.thinkculturalhealth.hhs.gov/>. Additional cultural/linguistic competency and health literacy tools, and resources are available online at <http://www.samhsa.gov/capt/applying-strategic-prevention/cultural-competence>

Acknowledgement of Federal Funding

As required by HHS appropriations acts, all HHS recipients must acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds. Recipients are required to state (1) the percentage and dollar amounts of the total program or project costs financed with Federal funds and (2) the percentage and dollar amount of the total costs financed by nongovernmental sources.

DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages

A special term of award may be included in the final NoA that states: “On June 26, 2013, in United States v. Windsor, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex marriages, was unconstitutional. As a result of that decision and consistent with HHS policy, SAMHSA recognizes same-sex marriages and same-sex spouses on equal terms with opposite sex-marriages and opposite-sex spouses, regardless of where the couple resides. On June 26, 2015, in Obergefell v. Hodges, the Court held that the Fourteenth Amendment requires a State to license a marriage between two people of the same sex and to recognize a marriage between two people of the same sex when their marriage was lawfully licensed and performed out-of-state. Consistent with both of these decisions, you must treat as valid the marriages of same- sex couples. This policy does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage.”

Supplement Not Supplant

Grant funds may be used to supplement existing activities. Grant funds may not be used to supplant current funding of existing activities. “Supplant” is defined as replacing funding of a recipient’s existing program with funds from a federal grant.

Mandatory Disclosures

A term may be added to the NoA which states: Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Sub-recipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

SAMHSA
Attention: Office of Financial Advisory Services
5600 Fishers Lane
Rockville, MD 20857

AND

U.S. Department of Health and Human
Services Office of Inspector General
ATTN: Mandatory Grant Disclosures, Intake Coordinator
330 Independence Avenue, SW, Cohen Building
Room 5527
Washington, DC 20201

Fax: (202) 205-0604 (Include “Mandatory Grant Disclosures” in subject line) or email:
MandatoryGranteeDisclosures@oig.hhs.gov

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance; including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321).”

System for Award Management (SAM) Reporting

A term may be added to the NoA that states: “In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000, must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a federal award that reached final disposition within the most recent five-year period. The recipient also must make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.”

Drug-Free Workplace

A term may be added to the NoA that states: “You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Government-wide implementation (2 CFR part 182) of section 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).”

Smoke-Free Workplace

The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law (P.L.) 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

Standards for Financial Management

Recipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75. The financial systems must enable the recipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient to compare actual expenditures or outlays with the approved budget for the award.

SAMHSA funds must retain their award-specific identity – they may not be commingled with state funds or other federal funds [“Commingling funds” typically means depositing or recording funds in a general account without the ability to identify each specific source of funds for any expenditure.]

Trafficking in Persons

Awards issued by SAMHSA are subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

NOTE: The signature of the AOR on the application serves as the required certification of compliance for your organization regarding the administrative and national policy requirements.

Publications

Recipients are required to notify the Government Project Officer (GPO) and SAMHSA’s Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded grant project that are accepted for publication. In addition, SAMHSA requests that recipients:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications

- Include acknowledgment of the ONDCP and SAMHSA grant program as the source of funding for the project.
- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of the Executive Office of the President, the Office of National Drug Control Policy or the U.S. Department of Health and Human Services, and should not be construed as such.

ONDCP and SAMHSA reserve the right to issue a press release about any publication deemed by ONDCP and SAMHSA to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

Appendix F: Sample Budget

Includes Budget Terminology and Sample 12-Month Budget Narrative

Budget Preparation:

The 12-Month Budget Narrative is used to determine reasonableness and allowability of costs in a DFC application. All of the proposed costs listed, whether supported by grant funds or match, **must** be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable federal cost principles, auditable, and incurred during the project period. All figures **must** be rounded to the nearest dollar.

Before developing a budget, applicants should review Federal Policies and Regulations available at <http://www.samhsa.gov/grants/grants-management/policies-regulations> to determine cost sharing expectations and restrictions on the types of costs that may appear in the budget.

Budget Terminology:

Allowable Cost: An allowable project cost is a cost that is:

1. Reasonable for the performance of the award.
2. Allocable
3. In conformance with any limitations or exclusions set forth in the federal cost principles applicable to the organization incurring the cost.
4. Consistent with the recipient's regulations, policies, and procedures which are applied uniformly to both federally-supported and other activities of the organization.
5. Accorded consistent treatment as a direct or indirect cost.
6. Determined in accordance with generally accepted accounting principles.
7. Not included as a cost in any other federally-supported award.

Cost Principles: The cost principles address the following four tests in determining the allowability of costs

1. **Reasonableness** - (including necessity). A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.
2. **Allocability** - A cost may be allocated to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship.
3. **Consistency** - Regulations regarding cost assignment **must** be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to

avoid duplicate charges.

4. **Conformance** - Conformance with limitations and exclusions contained in the Terms and Conditions of award, including those in the cost principles, may vary by the type of activity, the type of recipient, and other characteristics of individual awards.

These four tests apply regardless of whether the particular category of costs is one specified in the cost principles or one governed by other Terms and Conditions of an award. These tests also apply regardless of categorization as a direct cost or an indirect cost. The fact that a grant is awarded does not indicate a determination of allowability of all proposed costs.

Key Personnel: Individuals who contribute to the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant (i.e., Program Director/Principle Investigator, and Project Coordinator). **The Program Director/Principle Investigator (PD/PI) and the Project Coordinator (PC) may be the same person.** The Program Director/Principle Investigator and Project Coordinator must be listed under 'Personnel' in the Budget Narrative and not identified under 'Contracts'.

The key personnel for this program will be the Program Director/Principle Investigator and Project Coordinator. These positions requires prior approval by SAMHSA after review of credentials of staff and job descriptions.

- **Program Director/Principle Investigator (PD/PI):** An individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation. (Person listed in Part C of the Checklist found in the Grant Application Package). Must be employed by the recipient organization.
- **Project Coordinator (PC):** An individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination. The Project Coordinator will be listed on the DFC website if a grant is awarded.
- **Business Official (BO):** An individual responsible for the financial aspect of the grant, and must be an employee of the recipient organization. The Business Official and Program Director/Principle Investigator cannot be one of the same.

Level of Effort: The direct time spent by an individual on DFC Mentoring Program-related work. Across all projects/grants/positions, the level of effort for an individual may not exceed 100 percent.

Direct Costs: Costs that can be identified specifically with a particular award, project, program, service, or other organizational activity, or that can be directly assigned to an activity with a high degree of accuracy. Normally, direct costs include, but are not limited to, salaries, travel, equipment, and supplies directly benefiting the grant-

supported project or program.

Indirect Costs (if applicable): Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (i.e., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. Indirect costs require a negotiated indirect cost rate agreement. If indirect costs are claimed, a copy of an indirect cost rate agreement must be submitted with the application. Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII to part 75 (D)(1)(b), may elect to charge a de minimis rate of 10% of Modified Total Direct Costs (MTDC) which may be used indefinitely. The grant recipient must identify the requests in the budget narrative.

Research indirect cost rates are not allowable and will not be accepted. For more information on the establishment of indirect cost rate agreements, contact the Division of Cost Allocation (DCA). Regional contact information can be found at the following DCA website: <https://rates.psc.gov/fms/dca/map1.html>.

Total Project Costs (Direct and Indirect): The total allowable costs charged to the award during a budget period, whether paid by federal funds or contributed to meet the matching requirement, and the value of any third-party in-kind contributions counted toward the recipient’s matching requirement.

Budget Expectations (Future Years and Projected Total): If an applicant has sufficient match to allow a budget request of the full \$75,000, the applicant should round up the final budget figures to equal \$75,000. Applicants will not receive a higher score for requesting less than \$75,000. Applicants are strongly encouraged to apply for the full \$75,000 for each of the four subsequent renewal years of funding in their budget forecast even if they are not able to apply for full funding in Year One due to insufficient match.

The amount requested in this original application for the second year establishes the maximum amount that the applicant can receive in that year, if awarded.

Recipients are required to submit an annual budget request each year. The annual amount requested can be less than \$75,000 due to challenges such as insufficient match, but can never be greater than the amount indicated in this submission. Therefore, it is more advantageous to request the full \$75,000 for the second year. **Avoid conflict of interest within proposed contractual costs. See the definition of Conflict of Interest and examples below:**

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Conflict of Interest:	Examples:
<p>Federal regulations prohibit the appearance and existence of conflict of interest situations for employees, officials, and agents of the organization.</p> <p>Reference – 45 CFR 75/ 2 CFR 200.318112</p>	<p>An officer or employee has an interest in a company selected for a contract or consulting relationship, such as through their ownership, the ownership by a family member or through financial or other business ties (for example, sector members).</p> <p>Nepotism - an employee is supervised by a family member under the federally sponsored project.</p> <p>An individual is contracted to be a grant writer and/or provide input into the grant application. This individual is then written into the grant application to be an evaluator, program director/Principle Investigator, project coordinator, etc. for the applicant organization. This would violate the federal competition rules because contractors involved with the writing or preparation of the application cannot compete for contracts under the grant.</p> <p>Recipients will be required to alert the DFC Administrator of any organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition.</p>

**SAMPLE 12-MONTH BUDGET NARRATIVE
(FOR COMPLETING SF-424A: SECTION FOR FIRST YEAR OF THE FUNDING CYCLE)**

Please use the format below for submitting a 12-Month Budget Narrative for [Section B](#).

- A. Personnel:** An employee of the applying agency whose work is tied to the application. Proposed salaries **must** be reasonable. Compensation paid for employees **must** be reasonable and consistent with that paid for similar work within the applicant's organization and similar positions in the industry.

Table 4: Federal Request

Position	Name	Annual Salary / Rate	Level of Effort	Cost
Mentor Program Director	Dee F. Cee	\$64,890	10%	\$6,489
Mentor Project Coordinator	To be selected	\$46,276	25%	\$11,569
Mentee Project Coordinator	Sarah Smith	\$35,000	25%	\$8,750

			TOTAL	\$26,808
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BUDGET NARRATIVE JUSTIFICATION: Enter a description of the personnel funds requested and how their use will support the purpose and goals of this proposal. Describe the role, responsibilities, and unique qualifications of each position.

Table 5: Non-Federal Match

Position	Name	Annual Salary / Rate	Level of Effort	Cost
Volunteer Coordinator	Ron Jones	\$23,000	15%	\$3,450
Clerical Support	Susan Johnson	\$13.38/hr. x 100 hr.		\$1,338
			TOTAL	\$4,788

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the personnel matching funds provided and how their use will support the purpose and goals of this proposal. Describe how the matching funds will enhance the federal budget request.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF-424A): **\$26,808**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF-424A): **\$4,788**

B. Fringe Benefits: Fringe benefits may include contributions for items such as social security, employee insurance, and pension plans. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. List all components of the fringe benefits rate.

Table 6: Federal Request

Component	Rate	Wage	Cost
FICA	7.65%	\$26,808	\$2,051
Workers Compensation	2.5%	\$23,564	\$589
Insurance	10.5%	\$23,564	\$2,474
		TOTAL	\$5,114

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the fringe funds requested how the rate was determined, and how their use will support the purpose and goals of this proposal. Fringe should reflect the rate for the agency.

Table 7: Non-Federal Match

Component	Rate	Wage	Cost
FICA	7.65%	\$4,788	\$366
Workers Compensation	2.5%	\$4,788	\$120
Insurance	10.5%	\$4,788	\$503
		TOTAL	\$989

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the fringe matching funds provided and how the rate was determined.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF-424A): **\$5,114**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF-424A): **\$989**

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail. The lowest available commercial fares for coach or equivalent accommodations must be used. **NOTE:** Recipients will be expected to follow federal travel policies found at <http://www.gsa.gov>.

Table 8: Federal Request

Purpose of Travel	Location	Item	Rate	Cost
Optional Trainings for Coalition	Washington, DC	Airfare	\$300/flight x 3 persons	\$900
New Grant Award Recipient Training	Washington, DC	Hotel	\$200/night x 3 persons x 4 nights	\$2,400
New Grant Award Recipient Training	Washington, DC	Per Diem (meals)	\$71/day x 3 persons x 4 days	\$852
National Coalition Academy	Fort Indiantown Gap, PA (Tentative Site)	Air	\$200/flight x 3 flights x 2 people	\$1,200

Purpose of Travel	Location	Item	Rate	Cost
National Coalition Academy	Fort Indiantown Gap, PA	Ground Transportation (rental car)	\$200/week x 3 weeks	\$600
Local travel		Mileage	999 miles x \$0.50/mile	\$500
			TOTAL	\$6,452

BUDGET NARRATIVE JUSTIFICATION: Describe the purpose of travel and how costs are determined.

NOTE: The grant requires that the Mentor coalition staff person overseeing the DFC Mentoring grant and one Mentee coalition member attend the **New Grant Award Recipient Training** in Washington, DC.

Mentee coalitions that are being mentored for the full two-year term are required to enroll in the National Coalition Academy (NCA) at some point during their Mentoring grant. Mentee coalitions only mentored for a one-year term are encouraged, but not required, to attend. The NCA is a three-week training program spread out over the course of several months. The local travel rate should be based on the agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

Table 9: Non-Federal Match

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$275/flight x 3 persons	\$825
Regional Training Conference	Chicago, IL	Hotel	\$250/night x 3 persons x 2 nights	\$1,500
Regional Training Conference	Chicago, IL	Per Diem (meals)	\$71/day x 3 persons x 2 days	\$426
Local Travel	Group meetings	Mileage	2,298 miles x \$0.50/mile	\$1,149
			TOTAL	\$3,900

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the travel matching funds provided and how their use will support the purpose and goals of this proposal. Describe how

the matching funds will enhance the federal budget request. The local travel rate should be based on the agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF-424A): **\$6,452 NON-**

FEDERAL MATCH (enter in Section B column 2 line 6c of form SF-424A): **\$3,900**

D. Equipment: Permanent equipment may be charged to the project only if the applicant can demonstrate that purchase will be less expensive than rental. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines "equipment" at a lower rate, then follow the applying agency's policy.

Table 10: Federal Request

Item(s)	Rate	Cost
None	\$0	\$0
	TOTAL	\$0

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the equipment and how its purchase will support the purpose and goals of this proposal.

Table 11: Non-Federal Match

Item(s)	Rate	Cost
None	\$0	\$0
	TOTAL	\$0

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the equipment and how its purchase will support the purpose and goals of this proposal.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF-424A): **\$ 0 NON-**

FEDERAL MATCH (enter in Section B column 2 line 6d of form SF-424A): **\$ 0**

E. Supplies: Materials costing less than \$5,000 per unit and often having one-time use.

Table 12: Federal Request

Item(s)	Rate	Cost
Presentation supplies	\$30/presentation x 12	\$360
Postage	\$37/mo. x 12 mo.	\$444
Meeting supplies	\$10/meeting x 26 meetings	\$260
Copies	10,000 copies x \$0.10/copy	\$1,000
	TOTAL	\$2,064

BUDGET NARRATIVE JUSTIFICATION: Describe the need and include an adequate justification of how each cost was estimated.

Table 13: Non-Federal Match

Item(s)	Rate	Cost
Postage	\$37/mo. x 12 mo. x 5 groups	\$2,220
	TOTAL	\$2,220

BUDGET NARRATIVE JUSTIFICATION: Enter a description of the supplies match provided and how their use will support the purpose and goals of this proposal. Describe how the matching funds will enhance the federal budget request. Please note that items such as computers, desks, and projection equipment may be counted as match only once throughout the life of the project.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF-424A):**\$2,064 NON-**

FEDERAL MATCH (enter in Section B column 2 line 6e of form SF-424A):**\$2,220**

F. Contracts: A contractual arrangement cost to carry out a portion of the programmatic effort by a third-party contractor or for the acquisition of goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. If there is more than one contractor, each **must** be budgeted separately. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. The Recipient **must** establish written procurement policies and procedures that are consistently applied. SAMHSA staff may request a copy of procurement policies and all contracted agreements. All procurement transactions are required to be conducted in a manner to provide to the maximum extent practical, open and free competition. The Recipient will be required to be alert to organizational conflicts of interest as well as

noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.

COST FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND A BUDGET NARRATIVE JUSTIFICATION PROVIDED.

Table 14: Federal Request

Name	Service	Rate	Other	Cost
To be selected	Needs Assessment Training	\$150/day	15 days	\$2,250
	Travel	\$0.50/mile	352 miles	\$176
To be selected	Strategic Planning Facilitator	\$50/hour	200 hours	\$10,000
To be selected	Environmental Strategies Training	\$250/day	18 days	\$4,500
			TOTAL	\$16,926

BUDGET NARRATIVE JUSTIFICATION: Explain the need for each agreement and how it will support the purpose and goals of this proposal.

Table 15: Non-Federal Match

Name	Service	Rate	Other	Cost
Mentoring group	Training	\$17.50/hr.	5 days x 8 hrs./day x 5 participants x \$17.50/hr.	\$3,500
Individual time	Needs Assessment	\$17.50/hr.	2hr./wk. x 52 wks. x 10 participants x \$17.50/hr.	\$18,200
Coalition Training	Needs Assessment training	\$17.50/hr.	4 hr./mo. x 12 mo. x 5 participants x \$17.50/hr.	\$4,200

Name	Service	Rate	Other	Cost
Community Meeting	Coordination	\$17.50/hr.	4 hr./meeting x 12 meetings x 6 participants x \$17.50/hr.	\$5,040
To be named	Coalition Prevention 101 Training	\$250/day	6 days	\$1,500
			TOTAL	\$32,440

BUDGET NARRATIVE JUSTIFICATION: Explain the need for each match contract agreement and how it will support the goals of this proposal. Describe how the matching funds will enhance the federal budget request.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF-424A):**\$16,926 NON-**

FEDERAL MATCH (enter in Section B column 2 line 6f of form SF-424A):**\$32,440**

G. Construction: NOT ALLOWED –Leave Section B columns 1& 2 line 6g on SF-424A blank: Section B columns 1 and 2 line 6g.

H. Other: Expenses not covered in any of the previous budget categories. If anyone related to the project owns the building which is less-than-arm's length¹ arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease is required and **must** be submitted for all projects allocating rent costs.

Table 16: Federal Request

Item	Rate	Cost
Student Surveys	\$1/survey x 10,000	\$10,000

¹ "Less-than-arms-length" lease is one under which one party to the lease agreement is able to control or substantially influence the actions of the other. Such leases include, but are not limited to those between a division of a non-profit organization, non-profit organization and a director, trustee, officer, or key employee of the non-profit organization or his immediate family, either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest).

Item	Rate	Cost
Coalition Brochures	\$0.89/brochure x 6,024 brochures	\$5,361
	TOTAL	\$15,361

BUDGET NARRATIVE JUSTIFICATION: Explain the need for each item and how it will support the purpose and goals of this proposal.

Table 17: Non-Federal Match

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Youth Program	6 adult leaders x 10 hrs./mo. x \$17.50/hr. x 12 mo. CIA demonstrates breakout of services	\$12,600
Internet Service	\$40.00/month x 12 months	\$ 480
Student surveys	\$1/survey x 3,401 surveys	\$3,401
Coalition Brochures	\$0.89/brochure x 809 brochures	\$720
Printing	\$300/run x 5 runs	\$1,500
	TOTAL	\$30,201

BUDGET NARRATIVE JUSTIFICATION: Explain the need for each match item and how it will support the purpose and goals of this proposal. Break down costs into cost/unit (e.g., cost/square foot) and explain the use of each item requested. Describe how the matching funds will enhance the federal budget request.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF-424A): **\$15,361 NON-**

FEDERAL MATCH (enter in Section B column 2 line 6h of form SF-424A): **\$30,201 TOTAL**

DIRECT COSTS:

FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF-424A): **\$72,725**

NON-FEDERAL MATCH (enter in Section B column 2 line 6i of form SF-424A): **\$74,538**

TOTAL INDIRECT COSTS²:

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF-424A): **\$2,275**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF-424A): **\$462**

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF-424A): **\$75,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF-424A): **\$75,000**

Provide the total proposed period and federal funding as follows:

Table 18: Budget Summary

Category	Federal Request	Non-Federal Match	Total
Personnel	\$26,808	\$4,788	\$28,352
Fringe Benefits	\$5,114	\$989	\$5,855
Travel	\$6,452	\$3,900	\$10,353
Equipment	0	0	0
Supplies	\$2,064	\$2,220	\$4,084
Contractual	\$16,926	\$32,440	\$49,366
Other	\$15,361	\$30,201	\$49,254
Total Direct Costs	\$72,725	\$74,538	\$147,264
Indirect Costs	\$2,275	\$462	\$2,736

² If claiming indirect costs and a rate has been established, include a copy of the fully executed, negotiated, indirect cost agreement. For information on applying for the indirect rate go to:
<https://rates.psc.gov/fms/dca/map1.html>

Category	Federal Request	Non-Federal Match	Total
Total Project Costs	\$75,000	\$75,000	\$150,000

The federal dollars requested for all object class categories for the first 12-month period are entered on SF-424A, Section B, Column 1, line 6a-6i.

CALCULATION OF FUTURE BUDGET PERIOD BASED ON FIRST 12-MONTH BUDGET PERIOD

Input, review, and verify the accuracy of your second year budget estimate. Increases or decreases in the second year compared to the first **must** be explained and justified. Total federal share is not to exceed \$75,000.

Table 19: Second Year Budget Estimate

Category	2nd project year Federal	2nd project year match
Personnel	\$26,808	\$4,788
Fringe Benefits	\$5,114	\$989
Travel	\$6,452	\$3,900
Equipment	0	\$0
Supplies	\$2,064	\$4,000
Contractual	\$16,926	\$39,000
Other	\$15,361	\$21,861
Total Direct Costs	\$72,725	\$74,538
Indirect Costs	\$2,275	\$462
Total Project Costs	\$75,000	\$75,000

Provide reason(s) for anticipated changes from the first year budget.

NOTE: The total federal dollars (direct + indirect costs) requested for the second year 12 month budget period is entered on SF-424A, Section E: Column (b) = Year Two. The amounts entered onto SF-424A, Section E of the SF-424A is used to determine the

maximum federal funds a recipient may request in each of the project years. Failure to complete this chart will mean that a funded application cannot receive funding in the remaining year of the 2-year funding cycle.

Appendix G: Mentor Coalition General Information Table

As **Attachment 1**, insert general information related to the Mentor coalition and its community. The table below **must** be utilized.

Table 20: Mentor Coalition General Information Table

Request for Information	Response
1. DFC Award Number (i.e. SPXXXXXX)	
2. Coalition name	
3. Month and year Mentor coalition was established	
4. First year of DFC funding	
5. Indicate Yes or No if the coalition has a current DFC award? If yes, indicate the current DFC award year (e.g., Year Three, Year Four).	
6. Proposed Program Director/Principle Investigator Name, Phone Number, and Email Address. (individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation)	
7. Project Coordinator Name, Phone Number and Email Address (individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination)	
8. Geographic area served by coalition (include city, neighborhood, school district(s), etc.).	
9. List all zip codes for the geographic area served by coalition (use http://zip4.usps.com/zip4/welcome.jsp for assistance with identifying zip codes)	

Request for Information	Response
10. Using zip codes, list U.S. Congressional District(s) served by coalition (<i>refer to http://www.house.gov to find Congressional Districts</i>).	
11. Indicate Yes or No if the coalition serves a tribal or Native American community. If yes, provide name of Tribe/community.	
12. Indicate Yes or No if the coalition has at least one representative from the Bureau of Indian Affairs, Indian Health Services, or a tribal government agency with expertise in the field of substance abuse.	
13. Indicate whether the area(s) served by Mentor coalition is primarily urban or rural . Select only one. (See Appendix O for definitions).	
14. Indicate Yes or No, whether Mentor coalition serves an area that is economically disadvantaged (i.e., 20 percent or more of the children living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau).	
15. Indicate Yes or No, whether Mentor coalition (applicant) is on restricted status.	

Appendix H: Mentee Coalition General Information Table

As **Attachment 2**, insert **Table 21: Mentee Coalition General Information Table**, provide general information related to the Mentee coalition and its community. If the Mentor coalition chooses to mentor more than one coalition, the applicant **must** use the table below and the mentor **must** complete a separate table for each proposed Mentee coalition.

Table 21: Mentee Coalition General Information Table

Request for Information	Response
1. Mentee coalition name	
2. Mentee coalition mailing address	
3. Date Mentee coalition was established	
4. Mentee Program Director/Principle Investigator Name, Phone Number, and Email Address (individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation)	
5. Mentee Project Coordinator Name, Phone Number and Email Address (individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination)	
6. Geographic area served by Mentee coalition (city, neighborhood, school district(s), etc.)	
7. List all of the zip codes for the geographic area served by the Mentee coalition (use http://zip4.usps.com/zip4/welcome.jsp for assistance with identifying zip codes)	
8. U.S. Congressional District(s) served by Mentee coalition	
9. Total population of the area served by Mentee coalition	

Request for Information	Response
10. Does the Mentee coalition serve a tribal or Native American Community? Yes or No. If yes, indicate tribe Name.	
11. Does the Mentor coalition have at least one tribal or Native American Sector Representative? Yes or No. If yes, indicate which sector.	
12. Indicate whether the area(s) served by Mentee coalition is primarily urban or rural. Select only one. (see Appendix O for definitions)	
13. Does the Mentee coalition serves an area that is economically disadvantaged (20 percent or more of the children living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau)? Indicate Yes or No.	
14. Is the Mentee coalition currently or has it ever been in receipt of a DFC grant? Indicate Yes or No.	
15. Is the Mentee coalition applying for a FY 2018 DFC grant? Indicate Yes or No. Note: If the Mentee receives a FY 2018 DFC grant, the DFC Mentoring application will be deemed ineligible.	
16. Has the Mentee been mentored under the DFC Mentoring grant in the past? Indicate Yes or No. If yes, indicate the number of years the coalition was mentored under this grant program. Also, provide the Mentoring grant award number.	

Appendix I: Memorandum of Understanding (MOU) between Mentor and Mentee Coalitions

As **Attachment 3**, the Mentor coalition is required to submit a separate MOU for each Mentee coalition. Below is a sample MOU that can be used between Mentor and Mentee coalitions. Applicants can tailor the agreement as needed.

General Information:

- MOUs **must** be no more than 12 months old at the time the application is submitted (June 2017 – June 2018).
- MOU **must** be hand signed and dated. Do **not** use typed/electronic signatures.
- Each MOU **must** have two signatures; one from the Mentor Coalition Representative and one from the Mentee Coalition Representative.

Sample MOU between Mentor Coalition and each Mentee Coalition

This is a Memorandum of Understanding between *[Mentor Coalition Name]* and *[Mentee Coalition Name]*. This MOU is an agreement to execute the DFC Mentoring Grant in the *[Mentee Community Name]*.

Purpose: To maintain a formal partnership between the Mentor and the Mentee coalitions in the programmatic and fiscal management of the DFC Mentoring Grant.

Term: This MOU shall begin on _____ and extend through _____.

[Mentor Coalition Name] is responsible for:

1. Providing training and consultation in:
 - a. Coalition membership development,
 - b. Research based substance abuse prevention strategies including community level change strategies, and
 - c. Effective implementation of all steps of the strategic prevention framework.
2. Jointly selecting and directing staff and volunteers, setting goals and objectives for contract employees, and negotiating and approving contracts.
3. Jointly selecting and formulating goals and objectives in compliance with DFC Terms and Conditions.
4. Jointly overseeing operation of the coalition's activities, programs and paid staff.
5. Jointly creating, approving, and assuring budget compliance with DFC Mentoring grant requirements.
6. Compiling financial reports on a mutually agreed upon schedule.
7. Providing banking services and performing bookkeeping, preparing quarterly and annual financial reports. Wages and payroll taxes due, along with approved invoices, shall be paid from *[Mentor Coalition Name]* funds.
8. Reimbursing *[Mentee Coalition Name]* for any indirect or direct expenses incurred with prior approval of *[Mentor Coalition Name]*.

[Mentee Coalition Name] will be responsible for:

1. Increasing new membership of the coalition and community readiness.
2. Creating and following coalition's by-laws and policies.
3. Formulating coalition goals and objectives.
4. Assessing youth substance use trends and establishing baseline data.
5. Developing a comprehensive and sustainable community prevention plan.
6. Overseeing operations of activities, programs and if applicable, paid staff.
7. Establishing policy for its own programs.

EQUAL OPPORTUNITY

[Mentor Coalition Name] and ***[Mentee Coalition Name]*** mutually agree to abide by all applicable federal and state anti-discrimination statutes, regulations, policies, and procedures.

This agreement shall be subject to all applicable provisions of state and federal law and regulations related to the delivery and funding of social service.

Mentor Coalition Representative's
Name (Print)

Mentee Coalition Representative's
Name (Print)

Representative's Signature

Representative's Signature

_____ / /

_____ / /

Title

Date

Title

Date

Appendix J: Resumes and Job Descriptions

As Attachment 4, applicants **must** include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director/Principle Investigator and Project Coordinator, and each additional key paid or in-kind position. If a person has been selected but not yet hired, include a letter of commitment from that individual along with a resume and position description. If no individual has been identified for a position, a position description is still required, along with an overview of the hiring plan.

Resumes

Existing curricula vitae of project staff members may be used if they are updated and contain all items of information requested below. You may add any information items listed below to complete existing documents. For development of new curricula vitae include items below in the most suitable format:

1. Name of staff member
2. Educational background: school(s), location, dates attended, degrees earned (specify year), major field of study
3. Professional experience
4. Honors received and dates
5. Recent relevant publications
6. Other sources of support [Other support is defined as all funds or resources, whether federal, non-federal, or institutional, available to the Program Director/Principle Investigator/Project Coordinator (and other key personnel named in the application) in direct support of their activities through grants, cooperative agreements, contracts, fellowships, gifts, prizes, and other means.]

Job Description

1. Title of position
2. Description of duties and responsibilities
3. Qualifications for position
4. Supervisory relationships
5. Skills and knowledge required
6. Personal qualities
7. Amount of travel and any other special conditions or requirements
8. Salary range
9. Hours per day or week

Appendix K: Intergovernmental Review (E.O. 12372) Requirements

States with SPOCs

Regarding **Attachment 5**; this grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (HHS) regulation at 45 CFR Part 100. Under this Order, states may design their own processes for reviewing and commenting on proposed federal assistance under covered programs. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs can be downloaded from the Office of Management and Budget (OMB) website at <http://www.thecre.com/fedlaw/legal16/ispocs.htm>.

- Check the list to determine whether your state participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your state participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the state's review process.
- For proposed projects serving more than one state, you are advised to contact the SPOC of each affiliated state.
- The SPOC should send any state review process recommendations to the following address within 60 days of the application deadline: Christopher Craft, Acting Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 17E06, 5600 Fishers Lane, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. *SP-18-004*.

States without SPOCs

If your state does not have a SPOC and you are a community-based, non-governmental service provider, you must submit a Public Health System Impact Statement (PHSIS)³ to the head(s) of appropriate state and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep state and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a state or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

³ Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the first page of SF-424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

- A copy of the face page of the application (SF-424); and
- A summary of the project, no longer than one page in length that provides: 1) a description of the population to be served; 2) a summary of the services to be provided; and 3) a description of the coordination planned with appropriate state or local health agencies.

For SAMHSA grants, the appropriate state agencies are the Single State Agencies (SSAs) for substance abuse and mental health. A listing of the SSAs for substance abuse can be found on SAMHSA's website at <http://www.samhsa.gov/grants/applying/forms-resources>. A listing of the SSAs for mental health can be found on SAMHSA's website at <http://www.samhsa.gov/grants/applying/forms-resources>. If the proposed project falls within the jurisdiction of more than one state, you should notify all representative SSAs.

If applicable, you **must** include a copy of a letter transmitting the PHSIS to the SSA in Attachment 5, "**Letter to the SSA.**" The letter **must** notify the state that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address.

For United States Postal Service: Christopher Craft, Acting Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, 17E06, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. **SP-18-004**. In addition:

- Applicants may request that the SSA send them a copy of any state comments.
- The applicant **must** notify the SSA within 30 days of receipt of an award.

Appendix L: Sample Congressional Notification

As Attachment 6, applicants **must** follow the exact format below and include the completed Congressional Notification. *The Project Description **must not** be more than 35 lines; therefore, the entire document **must** not exceed more than one page. This information will be shared with members of Congress and the media, and may be posted to the DFC website, if the application is funded.*

Grant Award #SP0_____

Mentor Coalition Name:

Mentor Coalition Community:

Mentor Coalition Contact Name:

Mentor Coalition Contact Address:

Mentor Coalition Contact E-Mail:

Mentor Coalition Phone Number:

Recipient Name:

Recipient Contact Name:

Recipient Contact E-Mail Address:

Recipient Contact Phone Number:

Mentee Coalition(s) Name(s):

[State]

[Mentor Coalition Name]

Serving Congressional District(s): []

Project Description

The [Mentor Coalition] was awarded a FY 2018 Drug-Free Communities Mentoring Program in the amount of \$ [Amount] by the White House Office of National Drug Control Policy (ONDCP), in partnership with the Substance Abuse and Mental Health Services Administration (SAMHSA). The coalition will develop capacity, train, and mentor [Mentee coalition(s) name(s)] and assist them in applying for future DFC Support Program funding.

The purpose of the Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own. It will achieve this goal by implementing the following objectives: (1) Strengthen Mentee coalition's organizational structure; (2) Increase Mentee coalition's leadership and community readiness to address youth substance use problems in the Mentee community; and (3) Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive community prevention plan.

[Mentor Coalition] will achieve the objectives by implementing these strategies [provide a one-sentence description of each strategy that the Mentor coalition will implement]:

1)

2)

Appendix M: Pre-Submission Verification Checklist

Use the form below **Table 22: Pre-Submission Verification Checklist** to ensure that the application meets all submission requirements. Place an “X” beside each completed item or, if applicable, provide the page number where each item can be found. Include the completed verification as the last page of the application.

Table 22: Pre-Submission Verification Checklist

Items to Complete	“X” or Page Number
Did you complete and sign the Application for Federal Assistance (SF-424)?	
Did you complete sections B, C, and E of the Non-Construction Budget Worksheet (SF-424A)?	
Did you include a Table of Contents on which the page numbering starts at page 1?	
Did you include the Overview of the Mentor/Mentee Relationship and Mentee Community (no more than 2 pages)?	
Is your Project Narrative no longer than 10 pages?	
Does your Project Narrative address all 5 questions?	
Did you include the 12-Month Mentoring Plan in Question 5.3.4?	
Did you include a 12-Month Budget Narrative and a Second Year Budget Estimate?	
Did you include a lease agreement and floor plan for proposed cost for Rent, if applicable?	
Did you include an Indirect Cost Rate Agreement for proposed indirect cost, if applicable?	
Did you demonstrate that your coalition will meet matching fund requirements (12-Month Budget Narrative, SF-424 and SF-424A)?	
Did you meet all eligibility requirements (see Table 1 of this FOA)?	
In Attachment 1 , did you include the Mentor Coalition General Information Table (see Appendix G)??	

Items to Complete	“X” or Page Number
In Attachment 2 , did you include the Mentee Coalition General Information Table (see Appendix H)	
In Attachment 3 , did you include a separate MOU between the Mentor coalition and each Mentee coalition (see Appendix I)?	
In Attachment 4 , did you include the required resumes and job descriptions (see Appendix J)?	
In Attachment 5 , did you include a copy of the Single State Agency Letter regarding Intergovernmental Review (E.O. 12372) Requirements (see Appendix K)?	
In Attachment 6 , did you include the Congressional Notification (see Appendix L)?	
Did you include the Checklist found in the Grant Application Package as the last page of the application?	

Appendix N: Application Scoring Criteria

Applications will be screened jointly by ONDCP and SAMHSA to determine whether applicants meet all statutory eligibility requirements as outlined in this FOA. Applications submitted by coalitions that meet all statutory eligibility requirements will be scored by a peer review panel according to the evaluation criteria described above.

Peer reviewers will score each lettered item for questions **1, 2, 3, and 5** using the following definitions of each descriptor:

Outstanding: The applicant organization explicitly addresses the lettered item by providing comprehensive descriptions and thorough details. Relevant examples and data are included to support the information presented. The applicant organization demonstrates a strong understanding of the topic and the level of detail reinforces each response. The applicant organization effectively describes how the project will be implemented.

Very Good: The applicant organization provides significant descriptions and relevant details in addressing the lettered item, but the response is not fully comprehensive. The applicant organization demonstrates a sound understanding of the topic and includes pertinent examples. It is possible to specify what makes the response better than acceptable, but it is not up to the standards of outstanding.

Acceptable: The applicant organization provides a basic response to the lettered item. The applicant organization does not include significant detail or pertinent information. Key descriptions, details, and examples are limited. The applicant organization does not effectively translate the requirements of the FOA into practice.

Marginal: The applicant organization provides insufficient information, details and/or descriptions that do not completely answer the lettered item. The applicant may answer part of the lettered item, but misses a key point and/or there are major gaps in the information presented.

Unacceptable: The applicant organization does not address the lettered item. The applicant organization states the question, but does not elaborate on the response. The applicant organization merely repeats information included in the FOA. The applicant organization skips or otherwise ignores the question or includes irrelevant information that does not answer the question.

For **Question 4**, peer reviewers will provide an overall rating for the 12-Month Mentoring Plan using the following definitions of each descriptor:

Outstanding: It fully addresses the **three** DFC Mentoring goals (**Goal 1:** Strengthen the Mentee coalition’s organizational structure; **Goal 2:** Increase the Mentee coalition’s leadership and community readiness to address youth substance use problems in the Mentee community; and **Goal 3:** Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive 12-Month Action Plan. The Mentoring Plan includes objectives that center on how the Mentee coalition will move towards becoming DFC eligible. The strategies and activities included effectively address each objective. **The Mentoring Plan fully meets all four of the following requirements:** (1) The template provided in Table 3 is used; (2) The **three** goals identified in Table 3 are included; (3) **All** of the objectives are measurable (indicate the type of change; indicate how much change will occur including the specific amount of increase or decrease; include the specific population to be addressed; include a specific month and year by when change will be accomplished; and indicate how change will be measured; and (4) The plan is comprehensive.

Very Good: The **three** DFC Mentoring goals are addressed, but they are not fully comprehensive. The Mentoring Plan includes objectives that center on how the Mentee coalition will move toward becoming DFC eligible. The strategies and activities effectively address each objective. **The Mentoring Plan fully meets all four of the following requirements:** (1) The template provided in Table 3 is used; (2) The **three** goals identified in Table 3 are included; (3) **All** of the objectives are measurable (indicate the type of change; indicate how much change will occur including the specific amount of increase or decrease; include the specific population to be addressed; include a specific month and year by when change will be accomplished; and indicate how change will be measured; and (4) The plan is feasible.

Acceptable: The **three** DFC Mentoring goals are satisfactorily addressed, but they are not comprehensive; and do not clearly outline how the Mentee coalition will move forward toward becoming DFC eligible. It is not clear that the strategies and activities will allow the objectives to be met. **Not all** of the objectives are measurable.

Marginal: The **three** DFC Mentoring goals are not satisfactorily addressed and do not clearly outline how the Mentee coalition will move toward becoming DFC eligible. Insufficient strategies and activities are included that will not allow the objectives to be met. The objectives are **not** measurable.

Unacceptable: The applicant organization skips or otherwise fails to address the criteria for the Mentoring Plan. The required template is **not** used. **None** of the objectives are measurable.

Example of a measurable objective: By 9/18 (specific month and year) increase by 10% (amount of change) the perception of peer disapproval use (type of change) for 8th, 9th, and 10th grade students (population to be addressed) as determined by a youth survey result (how change will be measured).

Point scale ranges are provided below:

Questions 3 and 5 will be scored using the following 15 point scale:

<u>Outstanding</u> point range:	<u>Very Good</u> point range:	<u>Acceptable</u> point range:	<u>Marginal</u> point range:	<u>Unacceptable</u> point range:
15-14	13-12	11	10-9	8-0

Questions 1 and 2 will be scored using the following 20 point scale:

<u>Outstanding</u> point range:	<u>Very Good</u> point range:	<u>Acceptable</u> point range:	<u>Marginal</u> point range:	<u>Unacceptable</u> point range:
20-18	17-16	15-14	13-12	11-0

Question 4 (12-Month Mentoring Plan) will be scored using the following 30 point scale:

<u>Outstanding</u> point range:	<u>Very Good</u> point range:	<u>Acceptable</u> point range:	<u>Marginal</u> point range:	<u>Unacceptable</u> point range:
30-27	26-23	22-19	18-15	14-0

Appendix O: Glossary of Terms

Activities: Efforts, actions or initiatives conducted to achieve identified objectives. Example: Conduct three responsible beverage server trainings with 15 businesses represented at each training.

Authorized Organization Representative (AOR): The person authorized to sign the grant application as the official representative of the applicant organization and to act on behalf of the applicant and assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or awards, including the fiduciary authority/responsibility.

Business Official (BO): The individual identified in the application as being the primary party responsible for overseeing the financial aspects of the grant (i.e. Authorized Representative/Official, Accountant, Bookkeeper). This is the individual who will receive the Notice of Grant Award (NoA) if funded and/or the Peer Review Summary Statement.

Community-Level Change: Change that occurs within the overall population of the community.

Congressional District: An electoral division of a state entitled to send one member to the US House of Representatives – this refers to the Federal Congressional District.

Community Readiness: The degree to which a community is prepared to take action on an issue.

DFC Grant Award Recipient: The grant recipient is the organizational entity that receives the DFC grant funds. For the purposes of this FOA, it is either a coalition that is a legally eligible entity (to receive Federal funds) or an agency that has agreed to partner (receive the DFC-M grant) on behalf of the coalition and serve as the legal applicant if awarded the grant.

Economically Disadvantaged Area: An area with 20 percent or more children living in households below the poverty line as defined by the U.S. Census Bureau.

Objectives: What is to be accomplished during a specific period of time to move toward achievement of a goal. Measureable objectives must include the following elements:

- the type of change;
- how much change will occur, including the specific amount of increase or decrease;

- the specific population to be addressed (if population is youth, the ages of youth or grade level **are** identified);
- a specific date (Month/Year) by when change will be accomplished; and
- indicates how change will be measured.

Example of a measurable objective: By 9/30/18 (specific date) increase by 5% (amount of change) perception of peer disapproval of alcohol use (type of change) among 8th, 10th, and 12th grade students (population to be addressed) as determined by a youth survey result (how change will be measured).

Rural: According to the Drug-Free Communities Act of 1997, rural is defined as a county with a population that does not exceed 30,000 individuals.

Strategy: An overarching strategic plan, action, initiative or policy approach designed to achieve a key or primary aim or objective the coalition intends to achieve intended results.
Example: Increase enforcement of laws prohibiting the sale of alcohol to minors through compliance checks.

Urban: The Census Bureau classifies as "urban" all territory, population, and housing units located within an urbanized area (UA) or urban cluster (UC). It delineates UA and UC boundaries to encompass densely settled territory, which consists of: Core Census block groups or blocks that have a population density of at least 1,000 people per square mile and surrounding census blocks that have an overall density of at least 500 people per square mile.